


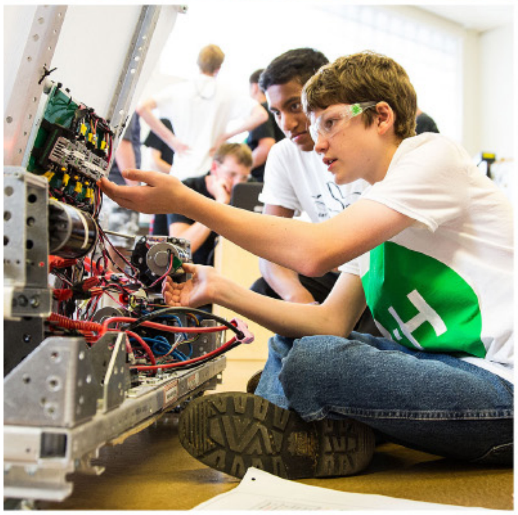




NATIONAL 4-H COUNCIL

Well Connected Communities Wave 3

PRESENTED BY NATIONAL 4-H COUNCIL AND THE ROBERT WOOD JOHNSON FOUNDATION

2021 Request for Applications

Deadline: Tuesday, November 30, 2021, 11:59 p.m. Eastern

Contact: Catherine Houlihan, Account Manager, National 4-H Council, choulihan@fourhcouncil.edu, 301-605-4388

About 4-H

In 4-H, we believe in the power of young people. We see that every child has valuable strengths and real influence to improve the world around us. We are America's largest youth development organization—empowering nearly six million young people across the U.S. with the skills to lead for a lifetime.

Background/Overview

The Well Connected Communities (WCC) is a nationwide initiative of National 4-H Council that is working ensure that life-long health and well-being are within everyone's reach through a focus on health equity, social determinants of health, and collective action.

National 4-H Council (Council) through generous support of the Robert Wood Johnson Foundation (RWJF) is proud to showcase the work of seven (7) incoming Land-grant Universities (LGUs) who are working to implement *Cooperative Extension's National Framework for Health Equity and Well-being*. Wave 3 sub-grantees will bring a high level of leadership and experience in collective action, particularly in historically marginalized communities and be well-positioned to drive transformational system changes across the Cooperative Extension System (CES). Sub-grantees will join the Well Connected Communities (WCC) Initiative and collectively continue to serve as an accelerator that explores the various roles that Cooperative Extension can play in supporting systems change. This is a two-year cost reimbursable sub-grant, which begins on January 1, 2022 and ends on October 31, 2023. Each sub-grantee will receive $25,000 total ($12,500 for Year 1 and $12,500 for Year 2).

Funding Information and Eligibility

- This is a competitive sub-grant opportunity is only open to Cooperative Extension 4-H programs within land-grant universities (LGUs). The Request For Applications (RFA) is open to all LGUs.
- Council will only issue sub-grants through LGUs that meet the criteria to be eligible for receiving grants from National 4-H Council. An LGU must submit a W-9 with their submitted application and the name reflected on this W-9 will be designated as the LGU's National 4-H Council approved Fiscal Representative Organization. This name will also be used for all associated agreements/contract and payments.
- Indirect or F & A costs will be allowed up to a maximum of 10% of sub-grantee's total grant award.
    - Example: Total award is $25,000. If you choose to take the 10% ICR, it should be included within the $25,000. The final award amount is $22,500programmatic costs and $2,500 in ICR for a total of $25,000. In no case shall your 10% go above and beyond the total sub-grant award.
- Sub-grant funds will be paid to sub-grantee as follows:
    - **Payment 1** (Initial Payment) in the amount of $8,000 within ten (10) business days after Council's receipt of a properly executed Sub-grant Agreement, initial staff Tobacco Separation Protocol validation letter (template will be provided), and other required documents for Wave 3.
    - **Payment 2** (Mid-Term Payment) of up to $8,500 within fifteen (15) business days after Council's receipt and acceptance of Financial Report, Tobacco Separation Protocol

validation letter, and Mid-Term Report. The Mid-Term Report will include a mid-term program and financial report. The Mid-Term Report is due November 30, 2022.

- **Payment 3** (Final Payment) of up to $8,500 within fifteen (15) business days after Council's receipt and acceptance of Financial Report, Tobacco Separation Protocol validation letter, and Final Report. The Final Report will include a final program and financial report. These are due November 30, 2023.

- Final payment completing the sub-grant award will be prorated based on attainment of deliverables of the sub-grant including program delivery and evaluation conducted.
- Sub-grant funds remaining unspent by sub-grantee at the conclusion of the period of performance must be returned to Council. Unspent funds reported through the final financial report will be deducted from the final sub-grant payment.
    - Please Note: this language will be included in your contract: Notwithstanding the foregoing, Council shall be obligated only to make payments for costs and expenses actually incurred and allowable under applicable funding guidelines (federal, state, local or private, as appropriate) in an amount not to exceed the sums stated above.

NOTE: This is a pre-award RFA. The award of these sub-grants is contingent on the award of a Grant by the Robert Wood Johnson Foundation to Council. The Robert Wood Johnson Foundation is scheduled to announce its funding award on or before Wednesday, December 1, 2021. Council will communicate any updates in the RFA within 24 hours of receiving the official award from the Robert Wood Johnson Foundation and any changes based on Council's award from the Robert Wood Johnson Foundation will be communicated in the Letter of Intent that goes out on Wednesday, December 15, 2021, 11:59 p.m. Eastern.

Sub-Grant Requirements/Deliverables

- Sub-grant awardees will be required to enter into a sub-grant agreement with Council, which will incorporate terms of this RFA, the respective sub-grantees application, and terms customary to sub-grants of this type.
- By submitting an application, you certify your project will adhere to the training, ongoing technical assistance, evaluation, and reporting protocol and timing as outlined by Council in this RFA.
- The sub-grant period of performance will be January 1, 2022 through October 31, 2023.
- Tasks to be undertaken by each grantee include the following seven elements:

I. Case Study

The primary deliverable will be a case study documenting a successful innovation which supports the implementation of Cooperative Extension's National Framework for Health Equity and Well-Being.

For example, the case study could describe:

1. A **cross-campus partnership** with another college or unit;
2. Modifications to **performance criteria** for faculty or staff to accommodate new ways of working;
3. Use of new advances in **data science** to identify health inequities;

4. Integration of **community and economic development** principles into health-related work;
5. A **youth-led initiative** to advance health equity;
6. Work to infuse **health equity** as a systemwide value across Cooperative Extension;
7. A multi-sector partnership focusing on health or a **particular region** or **marginalized population**;
8. Integration of nutrition education staff into broader health efforts.

Projects involving HBCUs or tribal colleges are encouraged.

The case study can focus on either past or current work, but must align with one of the major focus areas of Wave 3 of the WCC initiative. These are health equity, equitable development, youth voice and action, or systems change (including within Cooperative Extension).

You may choose to present your case study in a video format (no longer than 5 mins) or a report (no longer than 5 pages). The case study should include the following elements:

- Identify an issue related to health equity, equitable development, youth voice or systems change (including within Cooperative Extension).
- Describe practical courses of action taken to address an issue
- Focus on outcomes (include quantitative and qualitative information when possible).
- Provide new or unexpected insights from the area of focus.
- Address sustainability of the effort.

II. Reporting

- Financial report requires submission of a bi-annually financial report.
- Subgrantees must adhere to the Tobacco Separation Protocol (TSP) (See Appendix F) which will be validated every six months (See Appendix G for sample certification letter). The TSP cannot be negotiated and is required by RWJF to certify that individuals working on this Initiative do not have tobacco funding in their salaries or provide ongoing programming support to any initiatives supported by tobacco funding. This means that individuals regularly staffing the WCC Initiative at any level (national, state or community) cannot have tobacco-related money in their salaries, operating support (office space, supplies, travel, etc.) or programming funds. This includes funding directly from tobacco companies as well as tobacco settlement funds. The TSP also includes requirements for communications review.

III. Professional Development, Peer-to-peer mentoring, and Community of Practice (CoP)

- The goal of professional development is to increase knowledge and understanding, build the capacity of Extension professionals, coalition partners and youth working in communities to address root cause of health inequities and create systems change within the Cooperative Extension System. Professional development will be available through a combination of asynchronous learning and other virtual learning. WCC sub-grantees are invited to participate in these offerings to support their journey in implementing various policy, systems, and environmental changes.

- WCC sub-grantees are also required to participate in the Connect Extension Sub-Group for Health and Well-being. This is a platform for Extension professionals participating or interested in health and well-being to discuss various subject matters and share tools and resources.
- WCC sub-grantees considered model LGUs will be selected to participate in peer-to-peer mentoring and lead structured conversations and workgroups on various topics centered on CES systems change, health equity, youth voice and equitable development. The goal is to share with your peers your experience in implementing policy, systems, and environmental changes. Participation may include presenting a case study, reacting to a presentation as a discussant, or serving on an action team to plan the Equitable Development Youth-Adult Action Academy.

IV. Evaluation

- Participate in evaluation activities with WCC's external evaluator, the Center for Community Health and Evaluation (CCHE). CCHE attempts to minimize burden on grantees to the extent possible. Subgrantees will be expected to:
    - Engage in the WCC Wave 3 evaluation design and planning process by providing input and feedback through brief surveys and/or discussions
    - Participation in evaluation activities conducted by CCHE (e.g., surveys, interviews)

V. True Leaders in Equity Institute

- 4-H believes in youth and adults working in partnership to leverage the unique strengths that each group brings to their communities and world.
- The True Leaders in Equity Institute is an annual intensive summit that equips 4-H youth-adult pairs to be change agents within the Cooperative Extension System and 4-H, followed by a schoolyear of support as projects develop with a capstone showcase to share progress in creating lasting improvements in equity.
- At the discretion of sub-grantee, nominating and sending a team of adults and youth leaders to the national True Leaders in Equity Institute is optional. The Institute is planned to take place in June 2022 and June 2023 and will be in-person events. The estimated cost to attend the Institute is estimated at roughly $1,200 per delegate. The expenses incurred by this optional participation can be included in your subgrant budget.

VI. Youth Voice

- Youth and Adult partnership is a critical aspect of implementing policy, systems, and environmental changes in communities. We encourage sub-grantees to use any of the models below to create and include youth voice throughout implementation and evaluation.
- Train community partners in Youth-Adult Partnership, Essential Elements, and other useful curricula to prepare for youth inclusion in policy, systems and environmental change efforts that are internal and external to Extension. We encourage WCC sub-grantees to utilize a vetted resource such as The University of Wisconsin's *Youth Advocates for Community Health*

curriculum/resources to foster youth voice. Those using YACH will receive training and coaching from the University of WI.

- Include youth participation in implementation activities with coalition members but with no leadership yet.
- Include youth in the planning and execution of implementation activities with coalition members
- Promote youth-led planning and implementation
- Promote youth coalitions, youth advisory boards who align with adult coalitions in joint decision-making
- Develop and Support youth-adult partnerships with youth and adults equally at the table.

VII. National Youth Summit on Healthy Living

- At the discretion of sub-grantee, nominating and sending at least one team (minimum 2 youth and 1 adult) to the *National Youth Summit on Healthy Living* is optional. Each participating team will submit a Youth Community Health Action Plan (Dolphin Tank Process) that is approved by the community coalition or stakeholders (where applicable). Payment for optional attendance at Summits can be paid by the subgrant.

Additional Sub-Grantee Commitments

- Use the 4-H Name and Emblem in accordance with all relevant regulations when implementing and publicizing the sub-grant program.
- Recognize the Robert Wood Johnson Foundation and National 4-H Council as the donors of this sub-grant in promotional materials, online and on printed materials. See Communication Toolkit for approved wording.
- Participate in scheduled sub-grantee conference calls with Council staff. These will occur quarterly.
- Accommodate site visits to review programmatic implementation and fiscal monitoring at a time mutually convenient for sub-grantee and Council. Facilitate site visit opportunities for the donor upon Council's request.

Sub-Grant Timeline

RFA Released	Wednesday, September 15, 2021
Conference call/office hours among eligible institutions to review deliverables and provide an opportunity for Q&A. Join Zoom Meeting: https://zoom.us/j/98445387181?pwd=MWFHQzB2Sk5nM1JOd2dxSlRVbjE4QT09 Meeting ID: 984 4538 7181 Passcode: 942017	Thursday, September 30, 2021 at 1:00 PM Eastern Time
Application due via Qualtrics.	Monday, November 15, 2021 at 11:59 p.m. Eastern
Application approved by an 1862 State Program Leader, 1890 Program Administrator, or 1994 Program Administrator.	Tuesday, November 16, 2021, 11:59 p.m. Eastern
Applicants notified of award status via email. Sub-grantee agreement for awardees will follow.	On or before Wednesday, December 15, 2021
Period of Performance	January 1, 2022 through October 31, 2023
Subgrantee initial staff Tobacco Separation Protocol validation letter and other required documents for Wave 3. To be submitted via e-mail to choulihan@fourhcouncil.edu. Templates to be provided.	Due upon receipt of fully executed subgrant agreement
Subgrantee Financial Report, Tobacco Separation Protocol validation letter, and Mid-Term Report. To be submitted via e-mail to choulihan@fourhcouncil.edu. Templates to be provided.	November 30, 2022
Subgrantee Financial Report, Tobacco Separation Protocol validation letter, and Final Report. To be submitted via via e-mail to choulihan@fourhcouncil.edu. Templates to be provided.	November 30, 2023

Award Selection / Components of the Application

A competitive evaluation of each application will be conducted, with a 100-point scale being used to select the sub-grantee(s).

Executive Summary (10 points, 2,000-character limit)

Provide an overview of the institution's plan to implement this sub-grant opportunity. Include a thorough description of the past successes of the institution's coalition for peer-to-peer mentoring. Include a thorough description of the past successes in implementing policy, systems and environmental change initiatives and what difference participation in this initiative would make. Address Extension Health Community of Practice participation and existing media coverage (internal to LGU / Extension system and/or external) for health equity, equitable development, youth leadership, or systems change.

Brief Prospectus (40 points, 2,000-character limit)

Provide a brief prospectus for the focus of project, which will focus on health equity, equitable development, youth voice and action, or systems change (including within Cooperative Extension).

Brief description of the project upon which the case-study is focused.

How the project aligns with health equity, equitable development, youth voice and action, or systems change (including within Cooperative Extension).

Methods to be used for preparation of the case study.

Dissemination strategies (written, video, presentations, at professional meetings)

Timeline (30 points, 2,000-character limit)

Provide a detailed timeline for the implementation of this sub-grant. True Leaders in Equity Institute sessions are typically held in September, October, and May with nomination of the team in June. The National Youth Summit for Healthy Living is typically in February with nomination of teams in November. Professional Development / CoP activities are at least held on a quarterly basis.

Budget / Budget Narrative (20 points)

Applicant must complete a Budget Detail and Narrative in Qualtrics in the following categories: Personnel, fringe benefits, travel, equipment, supplies, contract specialists, other costs, and F&A/ICR. Personnel costs may not include salaried extension staff, but can be "at will" employees that serve in roles such as cultural guide, community coordinator, etc. (See Appendix A: Budget Detail and Narrative Preparation Guidelines).

Your budget should address the following:

1. Allocates state-level costs; is complete, allowable, and cost effective in relation to the proposed activities;
2. Shows the cost calculations demonstrating how the applicant arrived at the total amount requested; and

3. Provides a brief supporting narrative, including cost calculations, with each section which link costs with project activities and expenses entered in the respective detail section.

The submitted budget must list costs within each budget category and must include detailed itemization of those costs and a corresponding narrative explaining and justifying each budget item, as described below. All funds listed in the budget are subject to approval.

The Budget Detail and Narrative must provide the detailed computation for each budget line item, listing the cost of each item and showing how it was calculated. For example, costs for personnel must show the annual salary rate, the percentage of time devoted to the project, and funds requested for each employee paid through grant funds. The budget table must present a complete and detailed itemization of all proposed costs for proposed activities.

Aggregate "lump sum" requests will not be approved. The budget narrative sections must describe each expense listed, including how it was calculated, and relate it to the appropriate project activity. It must provide justification for all proposed costs listed (particularly supplies, travel, and equipment), and demonstrate that they are reasonable. In the budget narrative, the applicant must explain how salary coverage and fringe benefits were calculated, how travel costs were estimated, and why particular items of materials or supplies must be purchased.

Attachments Required

Attach your W-9 and a completed ACH (Direct Deposit) Request Form to facilitate sub-grant payments. Form available from Council's Account Manager, Catherine Houlihan, choulihan@fourhcouncil.edu.

How To Apply

All applications ***MUST*** be submitted via Council's Qualtrics by Monday, November15, 2021, 11:59 p.m. Eastern.

All applications must be approved by an 1862 State Program Leader, 1890 Program Administrator, or 1994 Program Administrator by responding to the email generated upon submission of the application via Qualtrics by Tuesday, November 16, 2021, 11:59 p.m. Eastern.

Tips on writing a successful application can be viewed at: http://4-h.org/resource-library/grants-awards/.

PLEASE NOTE: Council will only issue sub-grants through LGUs that meet the criteria to be eligible for receiving grants from National 4-H Council. An LGU must submit a W-9 with their submitted application and the name reflected on this W-9 will be designated as the LGU's National 4-H Council approved Fiscal Representative Organization. This name will also be used for all associated agreements/contract and payments.

Application must:

- Identify and provide contact information for the Principal Investigator (P.I.), the P.I.'s direct supervisor, the 4-H Program Leader or 4-H Program Administrator, the fiscal agency (payee) and fiscal contact person.

- For the organization designated as the fiscal agency, National 4-H Council will only process payments via ACH to ensure payments are received faster. If for any reason you cannot receive ACH and must do check, please indicate in application. If ACH, please attach Electronic Funds Transfer Authorization Form (available from Council) to facilitate payments. **Note: If you opt for ACH, National 4-H Council requires you to submit a new ACH form for each applied grant opportunity.**
- Confirm LGU agrees all monies will be used for expenses related to this grant opportunity in accordance with the grant deliverables.
- Confirm that the program is in compliance with an institution's 4-H policies and regulations governing background checks for adult professionals, volunteers, and leaders.

All applicants will be notified of award status via e-mail on or before December 15, 2021.

Contact For Questions

Catherine Houlihan, Account Manager, National 4-H Council, choulihan@fourhcouncil.edu, (301) 605-4388.

Appendix A: Budget Detail and Narrative Preparation Guidelines

Budget Preparation Guidelines

Applicant must complete a Budget Detail and Narrative in Qualtrics in the following categories: personnel, fringe benefits, travel, equipment, supplies, contract specialists, other costs, and F&A/ICR. Personnel costs may not include salaried extension staff but can be "at will" employees that serve in roles such as cultural guide, community coordinator, etc.
Your budget should address the following:

1. allocates state-level costs;
2. is complete, allowable, and cost effective in relation to the proposed activities;
3. shows the cost calculations demonstrating how the applicant arrived at the total amount requested; and
4. provides a brief supporting narrative, **including cost calculations**, with each section which link costs with project activities and expenses entered in the respective detail section.

The submitted budget must list costs within each budget category and must include detailed **itemization of those costs** and a corresponding narrative explaining and justifying each budget item, as described below. All funds listed in the budget are subject to approval. All submitted expense reimbursements are subject to further review of allowability and subsequent approval.

The Budget Detail and Narrative must provide the detailed computation for each budget line item, listing the cost of each item and showing how it was calculated. For example, costs for personnel must show the annual salary rate, the percentage of time devoted to the project, and funds requested for each employee paid through grant funds. The budget table must present a complete and detailed itemization of all proposed costs for proposed activities.

Aggregate "lump sum" requests will not be approved. The budget narrative sections must describe each expense listed, relate it to the appropriate project activity, and demonstrate that costs are reasonable. The budget narrative also must explain how each cost was calculated, paying particular attention to salary coverage and fringe benefits, travel, and materials or supplies.

Personnel – Salary and Wages
Personnel costs **may not** include salaried extension staff but can be “at will” employees that serve in roles such as a Cultural Guide, Community Coordinator, etc. In the budget narrative, the applicant must explain how salary coverage and fringe benefits were calculated. In the budget narrative, list each individual position and include a detailed description of the work to be performed, base annual salary on the projected start date of the project, and full-time equivalency (FTE) percentage of effort; e.g., .05 for 5% effort, .75 for 75% effort. If applicable, state the cost-of-living-adjustment percentage, or any other increase(s) and effective date of increase(s), being applied to the starting base annual salaries for all budgeted personnel for each year of the project.

Contract Specialist/Contracts should be used for costs associated with project staff who are not employees of the applicant organization.

Fringe Benefits

Fringe Benefits include all federal, state and local taxes, health insurance, and other standard benefits provided to employees (not including tuition). Indicate the percentage used to calculate the fringe benefit costs. If different rates were used for different individuals, please explain the calculation for each individual. If your fringe benefit rate exceeds 35%, please provide a complete list of the benefits and percentages for each that are included in the budget.

Travel
Travel by project staff directly related to the project. Includes costs such as travel to WCC related meetings, to promote the program or project, travel to perform interviews surveys. Travel costs also include stipends to offset meeting participant travel expenses. If travel costs are included in a contract, they, along with other costs in the contract, are listed under “Contracts.”

If you are able to identify specific destination and rates for airfare and lodging, please include actual amounts in your budget and narrative. Otherwise, please use travel cost estimates of up to $950 for a one-night, one day meeting where air travel is necessary. This figure includes airfare and baggage ($500), lodging ($225 per night), amount necessary for meals not supplied at meeting (up to $75 per day), and ground transportation ($150). For a two-night, two-day meeting where air travel is necessary, the up-to cost estimate is $1,250, which includes $225 for an additional night’s lodging and $75 per day for meals not supplied. For longer trips, add $225 for each additional night of lodging, and up to $75 per day for meals when necessary. We encourage you to budget less than the travel formulas when possible.

For local travel, you should use the mileage reimbursement rate approved by your University and provide justification as part of the budget narrative. This should be done for each type of local travel, i.e. sites visits, collaboration meetings, community trainings, harvest sessions.

Examples:

- Agent travel for in state trainings to support the grant project. 3 agents X (101 miles X .47 per mile) + (2 nights lodging x $120) + (per diem 3 days @ $55) = $1,357
- State and regional staff travel to engage in community evaluation/harvest sessions. 3 communities X (8 visits X 228-mile average X .47 per mile) = $2,571

<u>Equipment</u>

Purchased or leased equipment, including but not limited to desktop or laptop computers, printers, cameras, etc. to be used specifically for the WCC project. Any purchase of a desktop or laptop computer must be prorated to the FTE of the staff person using it, i.e. new community coordinator at 0.5 FTE in budget can charge 50% of cost for desktop/laptop to grant. Itemize the equipment, provide unit and total costs, list personnel who will use the equipment and provide justification for why equipment is needed for the project. The purchase of equipment in a multi-year project may only occur in the first year of the project. Capital equipment is not allowed, nor is purchase of cell phones or tablets.

<u>Supplies</u>

Supplies include meeting expenses, office supplies, printing and copying, teaching materials, curriculum, postage, etc. directly related to the project. Identify any other items that are not covered in the above-mentioned areas. In the budget narrative, list the items (Supplies, Printing/Duplicating, etc.) being funded under this sub-category, the amount budgeted for each item and how cost is calculated.

Meeting Expenses are project-related expenses for meetings, including meeting room rental, audiovisual equipment rental, slide presentation costs, and meals/refreshments. List each meeting with projected dates and its cost estimates separately. Guest speaker fees should be included under the category “Contracts.” Guest speaker transportation, meals and lodging costs should be included under “Travel” if your university is reimbursing for those costs.

Examples:

- Printed (500 black and white copies x $0.50 per copy = $250). Office supplies, such as poster board paper, markers, etc. to be utilized during community meetings (estimate $250). Total = $500.
- Well Connected Shirts for Volunteers and State Team $20 x 40 = $800 + Well-Connected Master Volunteer Name Badges $11 x 15 badges = $165. Total cost of Master Volunteer Program materials = $965
- All meeting expenses for 1 day/overnight in-person meeting for 10 people comprising the state team. Location is Chevy Chase, MD. $650/day meeting room rental = $650. $150/day A/V equipment = $150. $10/per person handouts and meeting supplies x 10 people = $100. $75/person meals and refreshments x 10 people = $750. Total = $1650

Contracts

Contracts (including purchase orders or subgrants) entered into with specific deliverables and expectations negotiated by you for an agreed upon price over a specified period. In the budget narrative, for each contract, explain how you determined the cost for the contract, explain how the contracted funds will be used to include the specific deliverables and expectations and provide a justification of specific costs. If the specifics of the contract are not available during budget development, additional information may be required during budget negotiations. Grant funds cannot be expended against any contract in your budget until you are advised to do so. For all contracts, the start date should not be earlier than the start date of your award, and the end date should not be later than the end date of the award. Other funds must be used to pay for any contractual costs that begin earlier than the anticipated start date or end later than the anticipated end date of the project.

Other Costs

Other Costs include costs not previously listed.

Communications/Marketing Funds needed to increase awareness and impact-Includes costs such as writing and printing of collateral material such as brochures, newsletters; print, broadcast and online media outreach and other activities to disseminate information related to the project.

Project Space costs required as a result of this project-Includes the prorated costs of the occupied space or the actual costs of the additional space requirements. Provide the basis used to calculate the amount requested, e.g., $500 per month per FTE X 1.5 FTE X 12 months = $9,000. Only project space costs and no other related costs (e.g., custodial fees, utilities) should be budgeted on this line.

Example:

- Newspaper ads to publicize meetings and community activities. Estimate $50 per ad x 6 ads x 3 communities = $900. Signs will be purchased to advertise the community project= $200. Total = $1,100.

F&A/ICR

Indirect or F&A costs will be allowed up to a maximum of 10% of subgrantee's total grant award. For example: total award is $40,000. If you choose to take 10% ICR, it should be included within the $40,000. The final award amount is $36,000 programmatic costs and $4,000 in ICR for a total of $40,000.

Appendix B: Tobacco Separation Protocol

Tobacco Separation Protocol

The purpose of this document is to describe the protocols to which Sub-grantee will adhere to ensure there is no comingling of personnel or resources involved in managing or implementing the Robert Wood Johnson Foundation (RWJF) funded CES-RWJF Culture of Health program (the “Program”) with any Sub-grantee programs funded by Covered Businesses.[1] This document summarizes the obligations of Sub-grantee with respect to the Program.

In recognition of RWJF’s policies on tobacco, the Parties agree that Sub-grantee will implement the protocols below and that the implementation of such protocols (substantially in the same form as provided below) shall be maintained by National 4-H Council (Council), subject to audit by RWJF. Sub-grantee’s Office of Sponsored Programs (OSP) shall be responsible for implementing the following internal controls:

1. Sub-grantee will implement, review and administer the following internal control procedures to ensure that there is no commingling of assets or personnel between the Program and programs funded by Covered Businesses. The procedures cover personnel, receipt of cash, disbursements and expenditures, budgeting and financial reporting.

    a. Personnel: Sub-grantee shall ensure that there shall be no commingling of personnel between The Program and programs funded by Covered Businesses.

[1] For the purpose of this Protocol, “Covered Businesses” are: (i) companies that generate more than 25% of their gross revenue from the manufacture or sale of tobacco and (ii) associations that represent the interests of such businesses. If ever in doubt, Sub-grantee shall inquire of Council if a particular company or association is to be considered a Covered Business.

Procedures:

i. The Sub-grantee will establish a list of personnel (“the list”) who are eligible to work on the Program. Those eligible will receive no support directly or indirectly from funds provided by Covered Businesses. The following exceptions will be made for:

 - Senior staff who work on tobacco-funded projects or whose salary sources include tobacco funding and wish to provide training or a short-term service at no cost, or a non-recurring cost to WCC (i.e. travel expenses to a training or meeting venue).
 - Senior staff whose salary sources include tobacco funding who wish to join a WCC planning committee to stay current with the WCC plans, advise, provide community connections, referrals, or serve on community selection committee.

ii. All personnel on the list will be notified of their status (i.e. eligible to work on the Program).

iii. All personnel on the list will sign a document of understanding to confirm that their eligibility to work on the Program is contingent upon their continued non-involvement with any programs sponsored by Covered Businesses.

iv. The Finance and Human Resources departments (or official university equivalents) will, as part of the payroll processing, review employee timesheets/time and effort reports to ensure that employees on the list have not worked on any programs that are sponsored by Covered Businesses.

b. Cash Receipts: Sub-grantee shall ensure that there shall be no commingling of assets between the Program and programs funded by Covered Businesses.

Procedures:

i. All grant receipts from Council as related to the Program will be received electronically by wire transfer directly into a bank account that is established solely for and therefore dedicated to the purpose of funding RWJF programs.

c. Expenditures: Sub-grantee shall ensure that there shall be no commingling of assets between the Program and programs funded by Covered Businesses.

   Procedures:

   i. All expenditures for the Program will be disbursed from the dedicated bank account.
   ii. Expenditures may only be initiated and approved by authorized parties (i.e. only personnel not working on programs funded by Covered Businesses).

d. Budgeting: Sub-grantee shall ensure that there shall be no commingling of assets or personnel between the Program and programs funded by Covered Businesses.

   Procedures:

   i. Budgets for the Program shall be prepared only by approved personnel included on the list.
   ii. Budgets shall be reviewed by the Finance Department to ensure the following:
      - Only personnel on the list are included in the budget
      - All expenditures relate directly to the Program objectives and outcomes
      - No budgeted item will share support from funds supported by Covered Businesses
      - Overhead charges to the Program shall be established as a percentage of a pool of overhead costs that exclude overhead costs that relate to Covered Businesses.
      - The OSP will review and approve the overhead pool components.

e. Financial Reporting: Sub-grantee shall ensure that there shall be no commingling of assets or personnel between the Program and programs funded by Covered Businesses.

   Procedures:

   i. The OSP will meet with grant manager and key personnel on “the list” monthly to determine that all revenues and expenses are reported correctly both for the month and the year to date.
   ii. Monthly and Year to Date reports vs budget will be reviewed and analyzed.

2. Persons working on the Program shall not be supported directly or indirectly, by funds provided by Covered Businesses.

3. Sub-grantee will not co-fund any budget item with funds disbursed by Council to Sub-grantee originating from RWJF in support of the Program and funds from any Covered Businesses.

4. Sub-grantee shall maintain a separate bank account to hold any funds disbursed by Council to Sub-grantee originating from RWJF in support of the Program and shall make all disbursements with respect to the Program from that separate account.

5. Sub-grantee will execute funding agreements on any re-grants of funds disbursed by Council to Sub-grantee originating from RWJF funds, which prohibit such grantees from comingling funding originating from RWJF and funding provided by Covered Businesses to support any activity and require that personnel and activities supported by Covered Businesses are not also supported by funds originating from RWJF.

6. All branding, marketing, communications and donor recognition concerning the Program shall be separate from the marketing and communications associated with programs funded by Covered Businesses. All marketing materials specific to RWJF will be reviewed by Council before being finalized.

   a. Press Releases: In promoting the Program through press releases, Sub-grantee will ensure that Covered Businesses are not featured or referenced in the same materials;

   b. Social Media: In promoting or discussing the Program on social media, Sub-grantee will ensure that social media coverage for Covered Businesses are not featured in the same social media content;

   c. Events, Logo, Signage, Websites: Sub-grantee will ensure that RWJF logo, signage and programs are not featured or discussed at Sub-grantee events where Covered Businesses are in attendance. Sub-grantee will also ensure that representatives from Covered Businesses and RWJF are not in attendance at the same Sub-grantee events. In addition, RWJF's logo will not appear with the logos of Covered Businesses on Sub-grantee's website.

7. Sub-grantees are required to certify to Council in writing that they will:
   a. Adhere to their accounting controls in separating the Program from the Covered Businesses clause in the RFP and agreement;

b. Comply with these protocols;
c. Allow Council to perform periodic site visits to ensure grant compliance with this protocol;
d. Allow Council to conduct periodic review of this protocol on an on-going basis and making reviews as necessary;
e. Provide quarterly or semi-annual reports on the progress of the grant. In the report, sub-grantees will be required to certify that they are adhering to the protocol.

Appendix C: Tobacco Separation Protocol Sample Validation

[University Sponsored Programs Letterhead]

[Date]

Attn: Catherine Houlihan; Account Manager, Foundations

National 4-H Council
7100 Connecticut Avenue
Chevy Chase, Maryland 20815

Subject: Tobacco Separation Protocol Validation

In recognition of Robert Wood Johnson's policies on tobacco, and the partnership with [Fiscal Representative], we agree to implement the following:

1. [University] has established internal control procedures according to the Tobacco Separation Protocol to ensure that there is no commingling of assets or personnel between the Program and programs funded by Covered Businesses. The procedures cover personnel, receipt of cash, disbursements and expenditures, budgeting and financial reporting.
    a. [University] has established a list of personnel eligible to work on the program. This is to certify that those eligible will receive no support directly or indirectly from funds provided by "Covered Business" defined as companies that generate more than 25% of their gross revenue from the manufacture or sale of tobacco and associations that represent the interests of such business.

Last name	First name	Email

    b. All personnel on the list will be notified of their status (i.e. eligible to work on the program) by the program lead (PI).
    c. All personnel on the list will sign a document of understanding to confirm that their eligibility to work on the program is contingent upon the continued non-involvement with programs sponsored by "Covered Business".
    d. [University] will ensure that personnel on the list have not worked on any program and ensure no comingling of personnel resources that is sponsored by "Covered Business".
2. [University] will ensure all branding, marketing, communications and donor recognition concerning the Program will be separate from the marketing and communications associated with programs funded by Covered Businesses. All marketing materials specific to RWJF will be reviewed by Council before being finalized.
3. [University] will ensure that only public information about the Program is shared at events where Covered Businesses are in attendance. Non-public information about the Program may not be shared with Covered Businesses
4. [University] will ensure that RWJF's logo will not appear with the logos of Covered Businesses on [University's] websites and that the RWJF logo and signage will not be featured at events where a Covered Business logo and signage are used.

Sincerely,

[Signature of Authorized Official]

Name, Title Date Signed

Appendix D: Tobacco Separation Protocol FAQs

Tobacco Separation Protocol FAQ's
September 2021

Question: Do LGUs need to prove tobacco-free campus status?

Answer: No, see Tobacco Separation Protocol.

Question: Would the "tobacco free" requirement disqualify most LGUs?

Answer: No, see Tobacco Separation Protocol.

Question: Does "tobacco free" mean that a position that receives funding from an Altria grant cannot participate in the grant?

Answer: Yes, see the Tobacco Separation Protocol. However, exceptions will be made for senior staff who wish to provide training or other <u>short-term</u> service at <u>no cost</u> to the WCC grant.

Question: Are funds from the tobacco settlement included in this restriction?

Answer: Yes, see Tobacco Separation Protocol.

Question: Is it true that counties cannot be chosen if they have any programming funded with tobacco settlement funds?

Answer: This funding opportunity deals with "communities" defined by the applicant, not "counties." See Tobacco Separation Protocol.

Question: Our university has a campus-wide policy that no grants can be received from tobacco companies without a scientific peer review taking place. Does this preclude us from applying?

Answer: See the Tobacco Separation Protocol. Your university policy seems to align with the protocol, but you will need to examine the funding source for staff salaries for working on this initiative in order to be sure.

Question: If we have 4-H educators/program assistants teaching the Health Rocks curriculum, can those communities still be considered? We purchased the curriculum and our program assistants are not paid to only teach that curriculum.

Answer: If those educators are not paid from Altria funds, they can teach the Health Rocks! curricula provided it was not purchased with Altria funds.

Question: A potential community partner may be receiving tobacco settlement funds. Will that eliminate them from being part of the project?

Answer: The tobacco separation agreement only relates to Cooperative Extension. Council will not check the finances of other community partners.

Question: All of our health departments across the state receive tobacco settlement money except for one. Our state government took the route of using those funds to create health districts so that the whole state would be covered. We know we will want to include them as partners at the community level. What advice do you have for us given that we need sign off on the tobacco separation protocol?

Answer: Tobacco Separation Protocol only applies to Extension. It is not our concern how our partners' funding is handled.

Question: None of our other sponsors have interpreted 'no commingling of funds' as meaning that we would need an actual separate bank account. Our accounting system uses a fund-based system that creates a separate index within the account. All budgeted funds and allocable expenses are tracked specifically to each sponsor and project. There would be no commingling of funds other than in the bank account itself. However, if RWJF truly has this requirement then we will set up a temporary account to handle the funds during the life of any project that may be awarded.

Answer: Wave 2 of the Well Connected Communities grant is cost-reimbursable, therefore a separate bank account will not be needed.

Question: What do we have to do with the application now to certify that we meet the Tobacco Separation Protocol?

Answer: Nothing at present. This will be handled through the contract if your LGU is selected as a Pilot State.

Question: Our long-time *Health Rocks!®* instructor (partially funded by a Covered Business) is willing to provide a two-day training to our Well Connected Communities volunteers. Is she able to do so?

Answer: Yes, under the stated exception in the Tobacco Separation Protocol.

Question: A senior staff member whose salary sources include funding from Covered Businesses will be co-presenting with our Well Connected Communities team on the topic of our LGU's state health initiatives at a regional meeting. May our LGU support the travel expenses for the entire team of presenters?

Answer: Yes, under the stated exception in the Tobacco Separation Protocol.

Question: One of our bi-lingual Extension instructional staff members has deep roots in a community that is interested in associating with the Well Connected Communities initiatives, and is partially funded by a Covered Business. Is she able to advise the Well Connected Communities staff and provide community connections and referrals?

Answer: Yes, under the stated exception in the Tobacco Separation Protocol.

Question: Our Extension Director serves on a statewide advisory committee on health established by the Governor. Funding from Covered Businesses is used to fund the advisory committee. May the Extension Director continue to serve?

Answer: Yes, under the stated exception in the Tobacco Separation Protocol.

Appendix E: W-9

Form **W-9**
(Rev. October 2018)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

▶ Go to *www.irs.gov/FormW9* for instructions and the latest information.

Give Form to the requester. Do not send to the IRS.

Print or type. See **Specific Instructions** on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ ________

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ▶

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) ________

Exemption from FATCA reporting code (if any) ________

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN,* later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

☐☐☐ – ☐☐ – ☐☐☐☐

or

Employer identification number

☐☐ – ☐☐☐☐☐☐☐

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here | **Signature of U.S. person ▶** | **Date ▶**

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to *www.irs.gov/FormW9.*

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

• Form 1099-INT (interest earned or paid)

• Form 1099-DIV (dividends, including those from stocks or mutual funds)

• Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)

• Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)

• Form 1099-S (proceeds from real estate transactions)

• Form 1099-K (merchant card and third party network transactions)

• Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)

• Form 1099-C (canceled debt)

• Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, *later.*

Appendix F: ACH Form

NATIONAL 4-H COUNCIL

ACH (Direct Deposit) Request Form

Company Name:

Contact Name:

Address:

Office Phone:

E-Mail:

ACH Deposit Information

Bank Name:

Bank Account Type: ☐ Checking ☐ Savings

Bank Account Number:

Bank Routing Number:

Bank Address:

Signature: Date:

Appendix G: Framework of Health and Wellbeing

Click here to access the Framework.