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Request for Applications

Learning Series and Technical Assistance Program for the Black PEARL Model for Systemic Integration of Community-Based Maternal Support Services

# **GENERAL INFORMATION**

1. **Description of First 5 Orange County, Children and Families Commission**

The Children and Families Commission of Orange County (hereafter referred to as First 5 Orange County) is a public agency with a legal mandate to promote, support, and improve the early development of children from the prenatal stage to five years of age in Orange County. The agency was established as a result of the voter-approved California Children and Families Act of 1998 (Health and Safety Code Section 130100-130155).

Since its inception more than 20 years ago, First 5 Orange County (First 5 OC) has become a leading convener and collaborator, valued capacity builder, and influential funder. In these roles, we place particular emphasis on addressing equity issues that affect the health, well-being, and early learning for our county’s youngest residents. We want children of every culture, background, and circumstance to thrive.

First 5 OC’s [2021 – 2026 Strategic Plan](https://first5oc.org/strategic-plan/) articulates our vision that *all* children, prenatal to age five, in Orange County reach their full potential from their earliest moments. To realize this vision, we collaborate with other county public agencies, community residents and organizations, and philanthropic partners, who share this vision for young children and are committed to working together to maximize resources and achieve the greatest possible impact.

1. **Background**

In 2024, First 5 OC became the primary community partner to the University of California, Irvine (UCI) School of Medicine in the implementation of the Black PEARL (Promoting Equity Anti-Racism and Love) Model for Integrating Community-Based Maternal Support Services. The model (hereafter referred to as Black PEARL) was created in partnership with team members from the UCI Health Your CARE Matters initiative, community stakeholders, and First 5 OC. It is funded by Department of Health and Human Services (DHHS) Office of Minority Health (OMH) Healthy Families Community-Based Perinatal Health Initiative (COPHI).

Black PEARL is designed to integrate community-based maternal support services into perinatal systems of care to improve birth outcomes in Orange County. Target populations include Black, Native Hawaiian, Pacific Islander, American Indian and Alaska Native pregnant and postpartum families. These communities experience disproportionately high rates of maternal and infant mortality, low birth weight and pre-term births. They are also more likely to undergo unnecessary cesarean deliveries, which place them at greater risk of birth-related complications.

There are several efforts underway that seek to address these important issues for at-risk birthing families. First 5 OC, OC Health Care Agency, and BreastfeedLA are in the early stages of implementing the Black Infant Health Program. First 5 Orange County and UCI are partnering with the Birth Workers of Color Collective to develop the Black PEARL Doula Network. Cal Optima and First 5 Orange County each created a doula stipend program to incentivize development of the doula workforce. A maternal health workgroup was formed to strengthen connections between stakeholders and build momentum to address maternal and infant mortality and morbidity. UCI created a Black PEARL Volunteer Program for medical students, and has hosted internal facilitated reflection sessions with physicians, nurses, residents, and medical students. First 5 OC and UCI will soon launch a multidisciplinary Black PEARL Community Advisory Board consisting of medical professionals, parents, and representatives from community-based organizations. These efforts provide near ideal contextual conditions to test, adapt, and replicate the Black PEARL model. For ideal conditions to exist, Orange County communities need stronger community-based maternal support services that offer culturally responsive care and resources to improve birth outcomes for all Orange County families.

**Community-Based Maternal Support Services (COMSS)** are a critical component of the Black PEARL model, which is designed to integrate COMSS into perinatal healthcare systems. However, the Black PEARL model cannot be fully actualized without robust community infrastructure that enables seamless COMSS integration. Therefore, First 5 OC will select up to five existing or emerging organizations or groups to strengthen their operational infrastructure and expand their culturally responsive perinatal services for Black, Native Hawaiian, Pacific Islander, American Indian, and Alaska Native pregnant and postpartum families. Through this Request for Applications, First 5 OC aims to offer targeted learning opportunities and technical assistance to support these organizations or groups in strengthening their capacity and impact.

# **REQUEST FOR APPLICATIONS (RFA)**

This RFA invites submissions from organizations or groups that provide perinatal services in Orange County to participate in the Black PEARL Community Maternal Support Services (COMSS) Learning Series and Technical Assistance program. We encourage all interested organizations and groups in Orange County to apply including those that are fiscally sponsored or not currently funded by First 5 OC. Funding is limited to those organizations or groups in Orange County that provide perinatal services to reduce maternal and infant mortality and morbidity in Orange County.

First 5 OC anticipates selecting up to five organizations or groups to participate in the program. This will be a fixed price agreement for a budget not to exceed $35,000 for each selected applicant through September 2025, with an anticipated start in June 2025.  **Renewal periods of one year each may occur through September 2027 or beyond contingent upon continuation of federal and/or other sources of funding.**  The amount of funding for future years may be adjusted based on funding availability and adaptations project based on lessons learned.

The Black PEARL COMSS Learning Series & Technical Assistance Program will be implemented in two phases:

1. **Phase 1: Assessment and Prioritization of Capacity Strengthening Needs (June – July 2025)**

First 5 OC will contract with the learning and technical assistance provider that will conduct an organizational assessment of each selected applicant to identify strengths, areas of improvement, and gaps with a particular focus on community engagement, service provision, collaboration, data and learning, and internal operations. This will require selected applicants to complete the assessment, meet with the learning and technical assistance provider, and convene facilitated discussions with staff to discuss the outcomes of the assessment and identify priorities. The intent is to prioritize key operational and/or programmatic improvements that will have the greatest impact for the selected applicants and the families they serve.

During this first phase, the learning and technical assistance provider will convene selected applicants for initial peer learning and support. Selected applications will receive 50% ($17,500) of the total grant award at the end of July 2025 after completion of Phase 1 activities.

1. **Phase 2: Learning Series & Technical Assistance (August – September 2025)**

Based on results from Phase 1, selected applicants must participate in a training and learning series with topics such as: organizational culture, leadership development, collaboration and innovation, community engagement, working with healthcare systems, and culturally responsive service delivery for Black, Native Hawaiian, Pacific Islander, American Indian and Alaska Native pregnant and postpartum families, etc. Our objective is to significantly reduce maternal and infant mortality and morbidity in Orange County.

Selected applicants will be required to participate in these sessions. Up to five staff from each organization will be invited to participate. Topics, number and length of sessions will be finalized by the learning and technical assistance provider with sessions likely to begin in August 2025. Funding for staff participation in the learning series is included in the award amount.

In addition to the learning series, each selected applicant will receive individualized technical assistance and coaching on the priorities elevated during the assessment process. Funding in Phase 2 will support staff participation in the learning series and technical assistance to strengthen the capacity of selected applicants to improve perinatal service delivery and birth outcomes for Black, Native Hawaiian, Pacific Islander, American Indian and Alaska Native pregnant and postpartum families.

The remaining funding ($17,500) will be disbursed in alignment with completion of activities at the end of September 2025 after completion of Phase 2 activities.

As a recipient of Black PEARL funds, selected applicants will collaborate with First 5 OC, UCI, and its consultants and contractors to build linkages between participants and UCI Health for seamless integration of community-based maternal support services. Participants must also participate in the maternal health workgroup and contribute to reports about the progress and impact of the program.

# **ELIGIBILITY CRITERIA**

The opportunity to respond to this Request for Applications (RFA) is open to all interested nonprofit, community-based organizations and groups in Orange County including those that are fiscally sponsored or not currently funded by First 5 OC. Funding is limited to organizations and groups located in Orange County that provide perinatal services. Selected organizations and groups must commit to full participation in the COMSS Learning Series and Technical Assistance program.

# **SELECTION PROCESS**

Applicants are required to submit a complete application as outlined in *Section VI. Submission Requirements*. First 5 OC will conduct two levels of review to determine the successful applicant.

Level 1: Administrative Review

First 5 OC will review all applications for completeness per the submission instructions detailed *Section VI.* *Submission Requirements* of this RFA. Basic requirements include timely receipt of the application and submission of all required attachments. Applicants that do not meet these minimal requirements may be deemed ineligible to continue to Level 2 of the review process.

Applicants who pass Level 1 will proceed to Level 2 of the review process.

Level 2: Proposal Review

A Review Committee, consisting of First 5 OC and UCI School of Medicine staff and consultants, will review the applications, utilizing the scoring rubric listed below.

|  |  |
| --- | --- |
| **Application Review Criteria** | **Maximum Points** |
| Offers compelling rationale for participation in the COMSS Learning Series & Technical Assistance program. | 25 |
| Experience with community engagement or service delivery in Black, Native Hawaiian, Pacific Islander, American Indian, and/or Alaska Native communities. | 20 |
| Demonstrates prior commitment to continuous quality improvement. | 15 |
| Experience collaborating with other organizations and groups to achieve shared goals. | 10 |
| TOTAL POINTS | 70 |

The five highest scoring applicants will be selected to participate in the COMSS Learning Series and Technical Assistance program.

# **TERMS OF THE PROJECT**

First 5 OC expect to enter into an initial fixed price agreement through September 2025 with the selected applicants with an anticipated start in June 2025. This agreement can be renewed annually through September 2027 or beyond based on funding availability.

Funding for the Black PEARL COMSS Learning & Technical Assistance program is approximately $35,000 for each selected applicant through September 2025. This will be a fixed price agreement. Therefore, applicants must anticipate sufficient cash flow. Funding will be disbursed as follows:

* 50% ($17,500) of the total grant award after completion of Phase 1 activities in July 2025.
* 50% ($17,500) disbursed in alignment with completion of activities at the end of September 2025.

# **SUBMISSION REQUIREMENTS**

The complete RFP submittal package must include **all required documents (Items A-C)** listed in this section. Incomplete submissions may be grounds for disqualification. Submit required documents electronically to First5OC@cfcoc.ocgov.com **no later than May 22, 2025 by 3:00 pm (Pacific Time)**. Submissions after this date and time will be automatically rejected.

**REQUIRED DOCUMENTS**

1. **Attachment 1: COMSS Learning Series & Technical Assistance Application**: Complete the application as instructed. The application must be signed by the person who has the authority to act on behalf of, and bind, the organization. For fiscally sponsored groups, the sponsor must also sign the application.
2. **Attachment 2: Certification of Restrictions on Lobbying** – This form requires the proposer to certify compliance with the lobbying requirements of 31 U.S.C. Section 1352 and the applicable regulations under 49 CFR part 19 and 20. (Required if the bid is equal or greater than $100,000). You are required to submit the Certification of Restrictions on Lobbying Form” and “Disclosure of Lobbing Activities Form”, in order for your proposal to be responsive and to be considered for evaluation.
3. **Attachment 3: Disclosure of Lobbying Activities** – This form requires the proposer to disclose lobbying activities pursuant to the requirements of 31 U.S.C. Section 1352. If you do not have any reportable activities to disclose, then you must check the box entitled “No Reportable Activities” on the attached Standard Form-LLL “Disclosure of Lobbying Activities” and complete Section 16 of the form in order for your proposal to be responsive and to be considered for evaluation. The certifying official shall sign and date the form and print name, title, and telephone number.
4. **Debarment and Suspension Certification –** Unless otherwise permitted by law, any person or firm that is debarred, suspended, or voluntarily excluded may not take part in any federally funded transaction, as either a participant or a principal, during the period of debarment, suspension, or voluntary exclusion. Accordingly, First 5 OC may not enter into any transaction with such debarred, suspended, or voluntarily excluded persons or firms during such period, in accordance with 2 CFR part 180, as adopted and supplemented by 2 CFR part 1200. *By submitting an application, you are certifying, to the best of your knowledge and belief that neither your company/firm nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency, in accordance with 2 CFR 200.214 and 2 CFR 180.*

# **RFA QUESTIONS**

Questions about this RFA and the process must be submitted to First5OC@cfcoc.ocgov.com by May 16, 2025. Applicants are advised not to contact First 5 OC or UCI staff or consultants to discuss this RFP. All questions received will be addressed and shared on the website: www.first5oc.org on May 20, 2025.

# **CONTRACTING**

First 5 OC reserves the right to contract with any organization providing responses to this RFA that meets First 5 OC contracting requirements. Submission of required documents and/or responses to follow up questions does not obligate First 5 OC to contract with applicant organizations. All awarded organizations, including subcontractors, must be able to meet federal and state requirements regardless of whether they receive state or federal funding.

General requirements required to contract with First 5 OC include, but are not limited to:

1. **Contract** - First 5 OC will develop a contract based on its usual and customary terms and conditions incorporating the requirements outlined in the RFA document and the responses of the selected applicant(s). A draft of the contract template may be provided upon request**.**
2. **Non-Resident Tax Withholding** – Please note that First 5 OC is required to comply with all State laws and regulations related to non-resident withholding pursuant to California Revenue and Taxation Code Section 18662 which requires 7% of all payments exceeding applicable amount in a calendar year to be withheld and sent to the California Franchise Tax Board.Nonresident payees include corporations, limited liability companies, partnerships, and individuals that do not have a permanent place of business in California.
3. **Personnel** - Project partners, managers, other supervisory staff, and specialists may be changed if those personnel leave the agency, are promoted, or are assigned to another office. The personnel may also be changed for other reasons with the expressed prior written permission of First 5 OC. However, in either case, First 5 OC reserves the right to accept or reject any or all replacements.

Specialists identified in response to the RFA can only be changed with the express prior written permission of First 5 OC, which reserves the right to approve or reject any or all replacements.

Other staff personnel may be changed at the discretion of agencies provided that such replacements have substantially the same or better applications or experience.

1. **RFA Interpretations and Addenda** - Any change to or interpretation of the RFA by First 5 OC will be posted on First 5 OC’s website, and any such changes or interpretations shall become a part of the RFP for incorporation into any contract awarded pursuant to the RFA.
2. **Public Record** - All applications submitted in response to this RFA will become the property of First 5 OC and a matter of public record.
3. **Additional Services** - The general service requirements outlined above describe the minimum work to be accomplished. During initial contract negotiations and any subsequent negotiations for contract renewals, the scope of service may be modified and refined based on the needs of First 5 OC.
4. **Undue Influence** – The responding Organization declares and warrants that no undue influence or pressure is used against or in concert with any officer or employee of First 5 OC in connection with the award or terms of any contract that may be executed as a result of award of this RFA, including any method of coercion, confidential financial arrangement, or financial inducement. No officer or employee of First 5 OC will receive compensation, directly or indirectly, from the Organization, or from any officer, employee, or agent of the Organization, in connection with the award of any contract or any work to be conducted as a result of an ensuing contract. A violation of this provision shall be a material breach of any contract entered into, entitling First 5 OC to any and all remedies at law or in equity.
5. **Submittal Preparation Expenses –** First 5 OC shall not be liable for any expenses incurred by the Organization in the preparation or submission of its applications, and such expenses shall not be reimbursed under a resulting contract.
6. **Insurance Requirements –** The insurance requirements for standard First 5 OC contracts are set forth below, including coverage amounts, types of coverage, and policy requirements. The insurance requirements for specific contracts may be adjusted at time of contract negotiations based on the scope of services to be provided.

* Comprehensive General Liability Insurance for bodily injury (including death) and property damage which provides not less than $1,000,000 combined single limit per occurrence and not less than $2,000,000 annual aggregate.
* Comprehensive Automobile Liability Insurance for bodily injury (including death) and property damage which provides total limits of not less than $l,000,000 combined single limit per occurrence applicable to all owned, non-owned and hired vehicles/watercraft, $1,000,000 annual aggregate.
* Workers’ Compensation Insurance for all employees engaged in project services with the California statutory amount of $1,000,000 per accident (only if the Applicant is a firm with employees).
* Employers’ Liability Coverage of not less than $1,000,000 per occurrence for all employees engaged in project services or operations (only if the Applicant is a firm with employees).
* Professional Liability of not less than $1,000,000 for professional licensed staff engaged in project services or operations (only if the Applicant will provide a service which requires a professional license).

1. **Conflict of Interest -** A conflict of interest exists when a responding Organization and its staff have the opportunity to advance or protect a personal interest, or the interests of others with whom he/she has a relationship, in a way that is detrimental or potentially harmful for the integrity or fundamental mission of First 5 OC. Responding Organizations will be required to disclose potential conflicts of interest as soon as it becomes known to them, or prior to engaging in any services with First 5 OC or a First 5 OC-funded organization, whichever comes first. Even the perception of a conflict of interest must be avoided and may require the restriction of the Organization’s scope of work or may give rise to the disqualification of an Organization from providing further services on behalf of First 5 **OC** in a particular area of expertise. First 5 **OC** staff will consult with legal counsel regarding potential conflicts of interest. Remedies may include, but are not limited to, removing the Organization from any decision making, limiting the Organization’s exposure to the decision-making process, and other means as available to avoid the conflict of interest.
2. **Cancellation of RFA** – First 5 OC may cancel this RFA at any time for any reason without notice.
3. **Compliance with Laws** - All information submitted in response to this RFA shall comply with current federal, state, and other applicable laws related thereto.
4. **Severability** - If any provisions or portion of any provision of this RFA are held invalid, illegal or unenforceable, they shall be severed from the RFA and the remaining provisions shall be valid and enforceable to the extent feasible.

# **RFA KEY ACTIVITIES AND DATES**

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| **Release Date:**  **May 8, 2025** | Instructions for submission available on First 5 OC’s website: [www.first5oc.org](http://www.first5oc.org) |
| **Final Date to Submit Questions: May 16, 2025** | Submit questions to [First5OC@cfcoc.ocgov.com](mailto:First5OC@cfcoc.ocgov.com) on May 16, 2025 by 3:00 p.m. |
| **Responses to Questions:**  **May 20, 2025** | Responses to questions posted on First 5 OC’s website: [www.first5oc.org.](http://www.first5oc.org.) |
| **Required Documents Due:**  **May 22, 2025** | Submit required documents as outlined in *Section VI. Required Documents* to [First5OC@cfcoc.ocgov.com](mailto:First5OC@cfcoc.ocgov.com) no later than May 22, 2025 by 3:00 p.m. No submissions will be accepted after this date and time. |
| **Anticipated Board of Commissioner Approval:**  **June 4, 2025** | All awards contingent on First 5 OC Board of Commisioner approval. |
| **Seelcted Applicant Notified: June 4, 2025** | The selected applicant will be officially notified after approval by the First 5 OC Board of Comissioners |
| **Anticipated Contract Start Date: June 2025** | First 5 OC reserves the right to change the start date of the contract for any reason. |

### **Attachment 1:**

### **Community-Based Maternal Support Services (COMSS)**

### **Learning Series & Technical Assistance Application**

**1. Applicant:**

|  |  |
| --- | --- |
| Organization/Group’s Name: |  |
| Address: |  |
| Phone Number: |  |
| Geographic Area(s) Served: |  |

**2. Contact Information:**

|  |  |
| --- | --- |
| Contact Person and Title: |  |
| Email: |  |
| Phone Number: |  |

**3. Authorized Signatory:**

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| --- | --- |
| Name and Title of Person Authorized to Sign on Behalf of the Organization/Group: |  |
| Email: |  |
| Phone Number: |  |
| Signature: |  |

**4. Fiscal Sponsor (If Applicable)**

|  |  |
| --- | --- |
| Name: |  |
| Contact Person: |  |
| Email: |  |
| Phone Number: |  |
| Signature: |  |

**5. Describe why your organization/group is interested in participating in the COMSS Learning Series & Technical Assistance program. Include what you hope to gain from your participation.**

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**6. Describe your experience with community engagement or service delivery in Black, Native Hawaiian, Pacific Islander, American Indian, and/or Alaska Native communities.**

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**7. Describe your experience collaborating with other organizations and groups to achieve shared goals.**

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**8. Describe one major lesson your organization or group has learned about your operations or program delivery. How has that learning shaped your current work?**

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**9. Include a list of up to five team members who will be involved in the COMSS Learning Series & Technical Assistance program. Include their role and why their involvement will contribute to successful project implementation.**

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| **Team Member** | **Role** | **Why their involvement will contribute to successful project implementation** |
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### **Attachment 2: Lobbying Certification**

### **Certification of Limitation on Payments to Influence Certain Federal Transactions**

A. DEFINITIONS

1. First 5 OC, as used in this clause, means the First 5 Orange County Children and Families Commission.

2. Covered Federal action, as used in this clause, means any of the following Federal actions:

a. The awarding of any Federal contract.

b. The making of any Federal grant.

c. The making of any Federal loan.

d. The entering into of any cooperative agreement.

e. The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

3. Indian tribe and tribal organization, as used in this clause, have the meaning provided in Section 450b of the Indian self-determination and Education Assistance Act (25 U.S.C. 450) and include Alaskan Natives.

4. Influencing or attempting to influence, as used in this clause, means making, with the intent to influence, any communication to or appearance before 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 any covered Federal action.

5. Local government, as used in this clause, means a unit of government in a State and, if chartered, established, or other were recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

6. Officer or employee of an agency, as used in this clause, includes the following individuals who are employed by an agency:

a. An individual who is appointed to a position in the Government under title 5, United States code, including a position under a temporary appointment.

b. A member of the uniformed services, as defined in the subsection 101(3), Title 37, United States Code.

c. A special Government employee, as defined in Section 202, Title 18, United States Code.

d. An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, Title 5, United States Code, Appendix section 3.

7. Person, as used in this clause, means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit, or not for profit. This term excludes an Indian tribe, tribal organization or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

8. Reasonable compensation, as used in this clause, means with respect to a regularly employed officer of employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

9. Reasonable payment, as used in this clause means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

10. Recipient, as used in this clause, includes the contractor and all subcontractors. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

11. Regularly employed, as used in this clause, means, with respect to an officer or employee of a person requesting or receiving by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

12. State, as used in this clause, means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State regional or interstate entity having governmental duties and powers.

B. PROHIBITIONS

1. Section 1352 of Title 31, United States Code, among other things, prohibits a recipient of a Federal contract, grant, loan or cooperative agreement from using appropriated funds to pay 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 any of the following covered Federal actions: 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; or, the modification of any Federal contract, grant, loan, or cooperative agreement.

2. The Act also requires contractor to furnish a disclosure if any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) 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 a Federal contract, grant, loan or cooperative agreement.

3. The prohibitions of the Act do not apply under the following conditions:

a. Agency and legislative liaison by own employees.

(1) The prohibition on the use of appropriated funds, in subparagraph C.1. of this clause, does not apply in the case of payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action if the payment is for agency and legislative liaison activities not directly related to a covered Federal action.

(2) For purposes of paragraph C.3.a.(1) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.

(3) The following agency and legislative liaison activities are permitted any time where they are not related to a specific solicitation for any covered Federal action:

Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products or services, conditions or terms of sale, and service capabilities.

Technical discussions and other activities regarding the application of adaptation of the person's products or services for an agency's use.

(4) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action:

Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and,

Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507, and subsequent amendments.

(5) Only those services expressly authorized by paragraph C.3.a.(1) of this clause are permitted under this clause.

b. Professional and technical services

(1) The prohibition on the use of appropriated funds, in subparagraph C.1. of this clause, does not apply in the case of:

A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as condition for receiving that Federal action.

Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission or negotiation of any bid, proposal, or application or that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include contractors and trade associations.

(2) For purposes of paragraph C.3.a.(1) of this clause, professional and technical services shall be limited to advise and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communications with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission, or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission, or negotiation of a covered Federal action.

(3) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation and any other requirements in the actual award documents.

(4) Only those services expressly authorized by paragraph C.3.a.(1) and (2) of this clause are permitted under this clause.

(5) The reporting requirements of FAR 3.803(a) shall not apply with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

c. Disclosure

(1) The contractor who requests or receives from an agency a Federal contract shall file with that agency a disclosure form OMB standard form LLL, Disclosure of Lobbying Activities, (Attachment to the bid package) if such person has made or had agreed to made any payment using non appropriated funds (to include profits from any covered Federal action), which would be prohibited under subparagraph B.1. of this clause, if paid for with appropriated funds.

(2) The contractor shall file a disclosure form at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under subparagraph II.A. of this clause. An event that materially affects the accuracy of the information reported includes:

A cumulative increase of $25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or

A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or

A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

(3) The contractor shall require the submittal of a certification, and if required, a disclosure form by any person who requests or receives any subcontract exceeding $100,000 under the Federal contract.

(4) All subcontractor disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the prime contractor. The prime contractor shall submit all disclosures to First 5 OC at the end of the calendar quarter in which the disclosure form is submitted by the subcontractor. Each subcontractor certification shall be retained in the subcontract file of the awarding consultant.

d. Agreement

The contractor agrees not to make any payment prohibited by this clause.

e. Penalties

(1) Any person who makes an expenditure prohibited under paragraph a) of this clause or who fails to file or amend the disclosure form to be filed or amended by paragraph d) of this clause shall be subject to civil penalties as provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.

(2) Contractors may relay without liability on the representation made by their subcontractors in the certification and disclosure forms.

f. Cost Allowability:

Nothing in this clause is to be interpreted to make allowable or reasonable any costs, which will otherwise be unallowable or unreasonable. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any other provisions.

**CERTIFICATION OF RESTRICTIONS ON LOBBYING**

I, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ , hereby certify on behalf (name of proposer) of

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ that:

(Firm name)

#### 1. No Federal appropriated funds have been paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer of employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, 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 making lobbying contracts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit the attached Standard Form-LLL, "Disclosure of Lobbying Activities", in accordance with its instructions.

3. If proposer does not have any reportable activities to disclose, they shall check the box entitled “No Reportable Activities” on the attached Standard Form-LLL “Disclosure of Lobbying Activities” and complete Section 16 of the form. The certifying official shall sign and date the form, print his/her name, title and telephone number.

#### 4. The undersigned shall require that the language of this certification be included in all subcontracts, and that all subcontractors shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is 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 civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The proposer, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the proposer understands and agrees that the provisions of 31 U.S.C. 3801, et seq. apply to this certification and disclosure, if any.

Executed this \_\_\_\_\_\_\_\_\_\_\_\_\_day of \_\_\_\_\_\_\_\_\_\_\_\_\_,202\_\_\_

By

(Signature of authorized official)

(Title of authorized official)

### **Attachment 3:**

**SF-LLL Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See instructions for public burden disclosure on Page 3 of this attachment.)

**If no reportable activities, proposer is still required to complete section 16 below.**

Approved by OMB

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**DISCLOSURE OF LOBBYING ACTIVITIES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Section 1. Type of Federal Action   * Contract * Grant * Cooperative Agreement * Loan * Loan Insurance | Section 2. Status of Federal Action   * Bid/Offer Application * Initial Award * Post-Award | Section 3. Report Type   * Initial Filing * Material Changes   For Material Change Only  Year: \_\_\_\_\_ Quarter: \_\_\_\_\_\_\_\_  Date of Last Report: \_\_\_\_\_\_\_\_\_ | | |
| Section 4. Name and Address of Reporting Entity   * Prime * Subawardee   Tier \_\_\_\_\_\_\_, if known  Congressional District, if known: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Section 5. If reporting entity in #4 is a Subawardee, enter name and address of Prime:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Congressional District, if known: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Section 6. Federal Department/Agency:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Section 7. Federal Program Name/Description:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  CFDA number, if applicable:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Section 8. Federal Action Number, if known:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Section 9. Award Amount, if known: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Section 10(a) Name and Address of Lobbying Entity (If individual: last name, first name, middle initial):  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Section 10(b) Individuals Performing Services including address if different from #10(a). Include last name, first name, middle initial.  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Section 11. Amount of Payment (check all that apply:  $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   * Actual * Planned | Section 13. Type of Payment (check all that apply):   * Retainer * One-time Fee * Commission * Contingent Fee * Deferred * Other, specify: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Section 12. forum of Payment (check all that apply):   * Cash * In-kind, specify   Nature: \_\_\_\_\_\_\_\_\_\_\_  Value: \_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Section 14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s) or Member(s) contracted for Payment indicated in Item, 11: | | | | |
| *Attach Continuation Sheet(s) SF - LLL - A if necessary* | | | | |
| Section 15. Continuation Sheet(s) SF-LLL-A attached? | | | * Yes | * No |
| Section 16. Information requested through this form is authorized by Code 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000.00 and not more than $100,000.00 for each such failure.  Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Print Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Telephone No: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | |
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**INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether Subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be a prime or subaward recipient. Identify the tier of the subawardee e.g., the first subawardee of the prime is the first tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee" then enter the full name, address city, state, and zip code of the prime Federal recipient. Include Congressional District.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency, name if known. For example, Department of Transportation, United State Coast Guard.

7. Enter the Federal program name for description of the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g. Request for Proposal (RFP) number, Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/ proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state, and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a.). Enter Last Name, First Name, and Middle Initial (MI).

11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.

12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.

14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.

15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.

16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

|  |
| --- |
| Public reporting burden for this collection for information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Management and Budget Paperwork Reduction Project (0348-0446), Washington, D.C. 20503. |

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SF-LLL-A DISCLOSURE OF LOBBYING ACTIVITIES CONTINUATION SHEET

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| **Reporting Entity:**  **Page of** |

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