

REQUEST
FOR
PROPOSALS

2016-
2017



Funding for
Primary
Prevention of
Sexual Violence

REQUEST FOR PROPOSALS

Application Open: June 3, 2016

Application Deadline: June 30, 2016

Eligible Applicants: Governmental and non-profit organizations

PLEASE READ VERY CAREFULLY

The Utah Department of Health Violence and Injury Prevention Program (UDOH/VIPP) is requesting proposals to implement primary prevention strategies that reduce sexual violence perpetration and victimization in the state of Utah, including childhood sexual violence, particularly in underserved communities. For the purposes of this RFP, the targeted population is aged 5-25 years (or parents/caregivers/providers of individuals 5-25 years of age). Additional weight will be given to applicants who demonstrate how they will serve one or more of the following underserved communities: communities of high need, tribal communities, rural communities, LGBTQ (Lesbian, Gay, Bisexual, Transgender, Queer) communities.

Approximately \$490,000 in one-time funding is expected to be available and it is anticipated that there will be 15-25 awards. *Please note: This amount is subject to change.*

Floor for individual awards: \$5,000

Ceiling for individual awards: \$50,000

Approximately \$40,000 will be set-aside specifically for organizations that are a) a tribal agency, or b) an agency with the primary purpose to serve one or more tribal communities.

Approximately \$450,000 will be available to governmental and non-profit entities, including the tribal agencies listed above.

Applicants must submit program and budget proposals reflecting programming for the anticipated funding period of July 1, 2016 to June 30, 2017. Applications must include all requested documentation, detailed later in this document. Please take note of the required format for submission on page 11 of this document.

The UDOH/VIPP has established a panel of experts who will review the applications and assign a score to the application. An evaluation of each individual application will be based upon the criteria listed in Appendix A. Please read the entire RFP carefully.

General criteria to be met:

- The extent to which the project is reasonable and implementable, utilizes best practice principles and/or curriculum, includes evaluation, and will contribute to the primary prevention of rape and sexual assault in Utah;
- The extent to which the estimated cost of the project is reasonable, considering the anticipated results;
- The extent to which the project personnel are well-qualified by training and/or demonstrate experience to implement sexual violence primary prevention and the applicant organization has adequate facilities and personnel; and;
- The degree of progress made on any current contract held with the UDOH/VIPP, if applicable.

Please NOTE: If your agency is currently funded under the Rape Prevention and Education (RPE) Program, your application must demonstrate how the project proposed in this application will complement, but be distinct, from your RPE project.

This funding requires quarterly reporting by program grantees.

ELIGIBILITY

1. Applicants must be governmental or non-profit organizations, located in the state of Utah.
2. Applicants must demonstrate a clear understanding of the dynamics of sexual violence, the principles of prevention and show how they will address these complex issues.
3. Applicants must also show the level of commitment to the issues and why they believe they are the best organization to address these issues in the proposed target community.
4. Previous awardees **MUST** be in good standing with the UDOH/VIPP by demonstrating that they have submitted any required documentation and reports in a timely manner and are showing satisfactory progress on any current contracts.
5. An applying agency must abide by the UDOH General Provisions, which can be found here: :
<http://purchasing.utah.gov/forms/doh.pdf>

The RFP Review Committee reserves the right to deny funds to those organizations that do not meet the requirements of this grant.

SUBMISSION DETAILS

Applications must be received **via email by VIPP staff** at the Utah Department of Health, no later than **11:59 p.m., Thursday, June 30, 2016**. The application package **MUST** include:

- One original application signed by the Authorized Agent for the applying agency. The person stated on the Utah Department of Commerce, Business Entity Search: <https://secure.utah.gov/bes/action/index>, as the Registered Agent is the Authorized Agent of Corporation;
- Proposed project narrative and work plan (15 page limit total);
- Budget, all required form(s), and two (2) letters of commitment if applicable (these items are not included in page limit); and
- All applications must be submitted electronically via email to mewaters@utah.gov. Applications must be received by 11:59 p.m. Thursday, June 30, 2016.
 - If alternative submission method is requested, please contact Megan Waters, (801)538-6626, mewaters@utah.gov.

Applications shall meet these requirements in order to be considered.

CONTACTS

The UDOH/VIPP encourages any organization needing assistance with the application to contact Alana Kindness with the Utah Coalition Against Sexual Assault (UCASA), (801)746-0404, akindness@ucasa.org.

INTRODUCTION

MISSION

The goal of this funding is to promote primary prevention projects that eliminate and/or reduce the incidence of sexual violence perpetration and victimization in Utah, especially among underserved communities (high need, tribal, rural, and LGBTQ communities). The UDOH/VIPP approaches sexual violence from a public health perspective, recognizing that primary prevention, including efforts to change cultural norms, behaviors, and practices is essential to create a community climate free from violence.

PREVALENCE

Sexual violence refers to any sexual activity where consent is not obtained or freely given. These acts can be physical, verbal, or psychological. Sexual violence in Utah is a serious public health problem affecting thousands of residents each year. Studies in Utah indicate that one in eight women and one in 50 men will experience rape in their lifetimes and nearly one in three women will experience some form of sexual violence during their lives¹. Utah ranks 9th in the nation for reported forcible rapes (FBI Uniform Crime Reports). Rape is the only violent crime in Utah that is higher than the national average. In a state where other violent crimes, such as homicide, robbery, or aggravated assault, is historically half to three times lower than the national average, this is of concern². Utah also sees high rates of child abuse, and specifically in the category child sexual abuse, the state is reportedly ranked 1st in the nation. According to Utah data about 27% of reported child maltreatment cases were child sexual abuse, compared to data from the Centers for Disease Control which indicates child sexual abuse makes up just 9% of child maltreatment cases nationwide.

Unfortunately the majority of rapes (88.2%) are not reported to law enforcement according to the 2007 Rape in Utah Survey. This clearly indicates that sexual violence rates are underestimated. Because we know that rape is underreported, it is difficult to gauge the magnitude of the problem using federal and state crime reports.

The 2010 Utah Behavioral Risk Factor Surveillance System (BRFSS) sexual violence data revealed that 12.2% of adult females and 1.2% of adult males experienced rape or attempted rape in their lifetime; other studies suggest these numbers may be higher. According to the 2007 Rape in Utah survey, 78.7% of females reported that their first sexual assault occurred before their 18th birthday. In addition, the 2011 Youth Risk Behavior Survey showed that 9.3% of Utah female high school students have been physically forced to have sexual intercourse when they did not want to, compared to 6.5% of male high school students.

Sexual assaults are rarely committed by strangers. Only 13.3% of victims report being victimized by a stranger. Most often, the assault is committed by a family member (30.9%), intimate partner such as a spouse or boyfriend or girlfriend (20.8%), friend (14.3%), neighbor (9.9%), babysitter (2.2%), or coworker (1.8%)³. Similarly, child sexual abuse is perpetrated overwhelmingly by individuals known to the child, about 80 to 90 percent.

¹ Utah Health Status Update, Sexual Violence, April 2008, (accessed 1/15/2013)

http://health.utah.gov/opha/publications/hsu/08Apr_SexualViolence.pdf

² Utah Commission on Criminal and Juvenile Justice, 2007 Rape in Utah Survey, (accessed 1/15/2013)

<http://nomoresecrets.utah.gov/Documents/RapeinUtah2007.pdf>

³ Utah Commission on Criminal and Juvenile Justice, 2007 Rape in Utah Survey, (accessed 1/15/2013)

<http://www.justice.utah.gov/Documents/Research/SexOffender/RapeinUtah2007.pdf>

The impact of sexual violence on the community is costly. At \$127 billion per year, rape has the highest annual victim costs of any crime. In Utah, indirect and direct costs annually were found to total nearly \$5 billion (CITE Costs of SV).

PRIORITIZING UNDERSERVED COMMUNITIES

Applicants are encouraged to target primary prevention efforts toward the identified underserved communities. Extra weight will be given to applications prioritizing one or more of the following underserved communities. See Appendix A for Scoring Criteria.

High Need: Sexual violence may disproportionately impact some areas of the state over others with higher rates of sexual violence, indicating a need for increased prevention efforts and supportive services in those regions. The purpose of this funding, in part, is to support areas of high need in the state of Utah. To find violence data specific to your area, visit:

http://ibis.health.utah.gov/indicator/complete_profile/Rape.html.

Rural Areas: Rural areas in the state have been underserved for primary prevention efforts targeting sexual violence. By prioritizing rural communities, this funding aims to reduce some of the barriers and challenges for addressing sexual violence. There is evidence to suggest rates of sexual violence in rural areas are as high, if not higher, than average⁴. This combined with barriers, some of which include isolation, social attitudes, limited resources, denial, lack of confidentiality, etc., point to the need for improved services and prevention efforts in rural areas.

Lesbian, Gay, Bisexual, Transgender, Queer (LGBTQ) Communities: Individuals who self-identify as LGBTQ have an equal or higher rates of experiences with interpersonal violence, including sexual violence. LGBTQ people, specifically bisexual women, bisexual men, and transgender people, are significantly disproportionately impacted by sexual violence⁵. The National Intimate Partner and Sexual Violence Survey found that 44% of lesbian women and 61% of bisexual women, compared to 35% of heterosexual women experienced rape, physical violence, and/or stalking by an intimate partner in their lifetime. The study also found that 40% of gay men and 47% of bisexual men had experienced sexual violence other than rape in their lifetime, compared to 21% of heterosexual men. In addition to experiencing higher rates of sexual violence, LGBTQ people are disproportionately impacted by other related risk factors, including homelessness, poverty, and discrimination.

Tribal Communities: American Indian people are disproportionately affected by sexual violence and have also been historically underserved. The National Intimate Partner and Sexual Violence Survey found that 26.9% of American Indian/Alaska Native women experienced rape in their

⁴ National Advisory Committee on Rural Health and Human Services, *Intimate Partner Violence in Rural America*, Policy Brief March 2015.

⁵ Centers for Disease Control and Prevention, National Intimate Partner and Sexual Violence Survey, 2010

lifetime (this is higher than all other race categories except for multiracial women), and 49% of American Indian/Alaska Native women had lifetime prevalence of other forms of sexual violence (this is also higher than all other race categories except for multiracial women). This funding aims to prioritize sexual violence prevention efforts for tribal communities based on higher than average rates of sexual violence victimization.

BACKGROUND& PURPOSE

The UDOH/VIPP has a history of supporting primary prevention programming. The purpose of this grant is to distribute funding appropriated from the Department of Workforce Services' Temporary Assistance for Needy Families (TANF) Program, the Division of Child and Family Services, and the Rape Prevention and Education (RPE) Program.

The intent of the grant is to ensure collaborative efforts locally and with the VIPP, to provide services for the primary prevention of sexual violence, especially to underserved communities. The funding also aims to provide support, and build and enhance grantees' capacity to facilitate the creation, implementation, and/or continuation of effective sexual violence primary prevention strategies in the state of Utah.

The UDOH/VIPP is authorized to allocate and administer funds for the primary prevention of sexual violence and other forms of intimate partner and interpersonal violence through an appropriation of TANF funding from the Department of Workforce Services, as well as through a cooperative agreement with the Utah Department of Human Services and with the CDC. These funds will strengthen sexual violence prevention and education efforts through the provision of grants to governmental and community-based organizations to provide comprehensive sexual violence primary prevention. Funds are available as specified in this Request for Proposal (RFP) for Rape Prevention Education programs.

SEXUAL VIOLENCE PRIMARY PREVENTION

For the purposes of this RFP, the definition of sexual violence primary prevention is population-based and/or environmental and system-level strategies, policies and actions that prevent sexual violence from initially occurring. Such prevention efforts work to modify and/or entirely eliminate the events, conditions, situations, or exposure to influences (risk factors) that result in the initiation of sexual violence and associated injuries, disabilities, and deaths. Additionally, sexual violence prevention efforts seek to identify and enhance protective factors that impede the initiation of sexual violence not only in at-risk populations, but also the community at large.

ALLOWABLE ACTIVITIES

Applicants must demonstrate the use of primary prevention methods and strategies which are based in evidence and theory. These methods/strategies include:

- **Evidence-based, evidence-informed:** Grantees are strongly encouraged to use the best available evidence for program planning and development. Evidence can range from evaluation and research data on the effectiveness of a certain program or strategy, to local and published data, such as data from police reports or surveys. Grantees are strongly encouraged to plan and develop programs for prevention based on the known risk and protective factors for sexual violence, in addition to shared risk and protective factors with other forms of interpersonal violence. Published data can be helpful in identifying risk and protective factors and risk groups for sexual violence.
- **Best practice strategies**
 - **S** – Promote social norms that protect against violence
 - **T** – Teach skills to prevent sexual violence
 - **O** – Provide opportunities to empower and support girls and women
 - **P** – Create protective environments
 - **SV** – Support victims/survivors to lessen harms

Please refer to “STOP SV: A Technical Package to Prevent Sexual Violence” from the CDC for more information on these strategies: <http://www.cdc.gov/violenceprevention/pdf/sv-prevention-technical-package.pdf>

- **Developmentally appropriate materials and approaches:** The use of developmentally appropriate approaches takes into account the level of physical, social, emotional, and intellectual development of the participants. Applicants should demonstrate use of materials that are developmentally appropriate for the targeted population. For the purposes of this RFP, the targeted population is aged 5-25 years, and parents/caregivers/providers of individuals 5-25 years of age.
- **Partnerships and Collaboration:** Partnership and collaborative efforts can enhance program capacity to achieve intended outcomes. Applicants should demonstrate collaboration with other organizations to share resources and integrate messages into existing systems.

- **Evaluation:** Grantees are strongly encouraged to demonstrate a program evaluation component for any project proposals.
- **Nine principles of prevention:** Nine characteristics have been consistently associated with effective prevention programming. Effective programming includes:
 - Comprehensive strategies;
 - Varied teaching methods;
 - Sufficient dosage;
 - Theory driven;
 - Opportunities for positive relationships;
 - Appropriately timed;
 - Socio-culturally relevant;
 - Outcome evaluation; and
 - Well-trained staff.

Applicants should make every effort to incorporate the nine principles of prevention into primary prevention efforts. More information about the principles of prevention can be found at <http://www.cdc.gov/ViolencePrevention/sexualviolence/prevention.html>

- **Social ecological model:** This model allows incorporation of risk and protective factors from multiple domains. The social ecological model not only addresses an individual's risk factors, but also the norms, beliefs and social and economic systems that create the conditions for the occurrence of sexual violence.
 - ✓ **Individual:** The first level identifies biological and personal history factors that increase the likelihood of becoming a victim or perpetrator of violence. Some of these factors are age, education, income, substance use, or history of abuse.
 - ✓ **Relationship:** The second level includes factors that increase risk because of relationships with peers, intimate partners, and family members. A person's closest social-circle peers, partners, and family members influence their behavior and contributes to their range of experience.
 - ✓ **Community:** The third level explores the settings, such as schools, workplaces, and neighborhoods, in which social relationships occur and seeks to identify the

characteristics of these settings that are associated with becoming victims or perpetrators of violence.

- ✓ **Societal:** The fourth level looks at the broad societal factors that help create a climate in which violence is encouraged or inhibited. These factors include social and cultural norms. Other broad societal factors include the health, economic, educational and social policies that help to maintain economic or social inequalities between groups in society. *“Sexual Violence Prevention: Beginning the Dialogue”* identifies concepts and strategies, including use of the social ecological model, that may be used as a foundation for planning, implementing, and evaluating sexual violence primary prevention activities. To read the full document, visit <http://www.cdc.gov/violenceprevention/pdf/SVPrevention-a.pdf>.

- **Risk and Protective Factors:** Things that make it more likely that people will experience violence are called **risk factors**, while things that make it less likely that people will experience violence or that increase their resilience when they are faced with risk factors are called **protective factors**. Grantees are encouraged to use risk and protective factors to inform program planning and development. See Appendix C for information on risk and protective factors specific to sexual violence. Please refer to the following link for more information on shared risk and protective factors: http://www.cdc.gov/violenceprevention/pdf/connecting_the_dots-a.pdf

Please NOTE: Applicants may propose activities and related budget items for training and education for prevention staff, including national and state conferences. The National Sexual Assault Conference is one example: <http://www.nsvrc.org/projects/national-sexual-assault-conference>

NON-ALLOWABLE ACTIVITIES

Activities or areas that **will not** be considered as an allowable cost in award of funds are:

- Activities that are not primary prevention;
- Direct intervention services;
- Projects/services which duplicate existing training, education, or services in a geographic area;
- Purchase of clothing, food, shelter, intervention support groups, therapy, or similar costs;
- Provision of self-defense training or other risk reduction activities;
- Services for populations in incarceration or juvenile detention.

Funds **are not** used:

- For lobbying purposes, fundraising activities or political education. Lobbying includes any effort to influence legislative action, including local ordinances. Positions supported with these funds cannot be lobbyists;
- For building alterations, renovations or construction;
- To supplant or replace current public or private funding;
- To supplant on-going or usual activities of any organization involved in the project;
- To purchase or improve land, or to purchase, construct, or make permanent improvements to any building;
- To reimburse pre-award costs;
- For the purchase of furniture or equipment.

PROPOSAL REQUIREMENTS

Proposals for Rape Prevention and Education must adhere to the requirements set forth by the UDOH/VIPP. Proposals that do not conform to these requirements will not be considered.

All applications should be submitted via email to include an electronic copy of the application in PDF format to mewaters@utah.gov, no later than **11:59 pm on Thursday, June 30, 2016**. If an alternative submission method is needed, please contact Megan Waters, at (801)538-6626, or mewaters@utah.gov.

PROPOSALS RECEIVED AFTER THE DEADLINE WILL NOT BE CONSIDERED.

Application format:

- The name of the applying organization should appear on every page of the application.
- All text should be produced in a 12-point font, Times New Roman and double-spaced.
- Pages must be numbered.
- Application should be submitted electronically in PDF format via email to mewaters@utah.gov.
- Application maximum number of pages is 15 pages for Sections 2-6. There are page limits listed for each section below. Sections 1 and 7 will not be counted toward the page limit. (*Attachments may be included for certain items as well such as, resumes, job descriptions, etc. and will not be counted toward the page limit*)
- Applications should include the required information described below in the order specified, sections 1-7.

SECTION ONE: REQUIRED FORMS

The documents requested in section one are NOT included in the 15-page limit.

- Cover Sheet (Form 1)
- W-9

SECTION TWO: PROJECT NARRATIVE (3 PAGES)

Section 2 page limit: 3 pages

This section should provide an overview of the problem or challenge which needs to be addressed and the target population. The following should be included:

Problem Statement: Describe the problem that prompts the applicant to propose the project. Provide data regarding the extent of the identified problem. The identified problem must be related to the goals and objectives of the proposed project.

Target Population: Indicate the population that your project will target and serve. Describe the target community including its location, population, geographic nature and other relevant demographic and geographic information. For goals that are aimed at youth, please state *grade level* rather than elementary, middle or high school. Projects must target age groups 5-25, or parents/caregivers/providers of individuals aged 5-25 years.

Projects proposing one or more underserved communities (high need, rural, LGBTQ, tribal) as target populations will receive extra weight during scoring. Please see Appendix A for scoring criteria.

SECTION THREE: COLLABORATION & CAPACITY (3 PAGES)

Section 3 page limit: 3 pages

Collaboration: This section should identify and describe the role of any collaborative efforts with other agencies necessary for the completion of the project. Applicants should demonstrate any previous experience working with the Utah Coalition Against Sexual Assault (UCASA) and/or their willingness to work with UCASA for technical assistance on sexual violence prevention.

- If applicable, two (2) letters of collaboration or letters of commitment are required for applications proposing partnerships with other organizations to carry out project plan. Letters must show how your agencies will be working together.

Capacity: This section should illustrate the applying organization's capacity and its ability to provide prevention services to its population and carry out the implementation of the project. Include the following information:

- Detailed explanation of the ability of agency/staff to accomplish the goals and objectives, including reporting to the Department of Health
- Detailed explanation of any anticipated barriers to achieving goals and objectives
- Detailed plan describing the commitment to building capacity and sustainability
- Detailed explanation of experience in providing/implementing sexual violence primary prevention programming
- Detailed explanation of performance on any current or previous contracts with the UDOH (including submission of required documentation and reporting in a timely manner, etc.)

SECTION FOUR: PROJECT PLAN (6 PAGES)

Section 4 page limit: 6 pages

This section is an illustration of what the applicant proposes to accomplish over the 1-year grant period. Plans should describe major goals, **measurable** objectives, and related activities, for the program proposal. If possible, include outcome statements related to each proposed goal.

Goals: Provide a brief description of the organization's goals, which should be broad statements of what the organization plans to accomplish with the funds.

(Example) Goal 1: To decrease boys' attitudes, beliefs, and behaviors that support and condone sexual violence.

Objectives: A useful framework for developing measurable goals and objectives is the SMART method.

Objectives should be SMART—that is, Specific, Measurable, Achievable, Realistic, and Time-phased. Objectives are statements that describe program results to be achieved and how they will be achieved.

- Specific objectives include **who will be targeted** and **what will be accomplished**.
- Measurable objectives include **how much change is expected** specifically enough that achievement of the objective can be measured through counting or documenting change.
- Achievable objectives can be **realistically accomplished** given your program's existing resources and constraints.

- **Realistic objectives address the scope of the health problem and propose reasonable programmatic steps.**
- **Time-phased objectives provide a timeline indicating when the objective will be met.**

(Example)

Objective 1.1: By December 31, 2016, the Prevention Center will implement a community based, multi-component sexual assault prevention program in boys clubs in 8 of the 12 counties.

Objective 1.2: By March 31, 2017, the Prevention Educator will analyze and report preliminary findings on the decrease in attitudes, beliefs, and behaviors that support or condone sexual violence.

Objective 1.3: By June 30, 2017, the Center will make adjustments to the program if preliminary findings indicate such a need.

Outcome Statement: How will the problem have improved at the end of grant cycle? List anticipated changes in participants (e.g., an increase knowledge and change in attitudes, beliefs and behaviors), organizations or other targets such as a change in policy or protocol.

(Example) Outcome Statement 1: Within one year, attitudes, beliefs, and behaviors that support and condone sexual violence have decreased by 10% among male students in grades 7-12 in funded communities as evidenced by pre/post-tests or other school surveys.

Applicants should demonstrate how their strategy/strategies will:

1. Support comprehensive primary prevention program planning at multiple social ecological levels;
2. Use risk and protective factors for sexual violence and other forms of interpersonal violence to inform their program planning and development;
3. Apply the principles of effective prevention strategies;
4. Use developmentally appropriate approaches and materials; and
5. Use evidence-based/evidence-informed programming.

SECTION FIVE: EVALUATION (2 PAGES)

Section 5 page limit: 2 pages

This section should assess the progress of the project, changes in the participants, and changes in the environment.

Process Evaluation: Sub-grantees are required to complete quarterly reports that describe progress towards goals and objectives, including the number and type of activities completed. Funded programs should also utilize tools or instruments, such as satisfaction surveys or participant interviews to determine needed improvements/ enhancements to their programs. Describe how the organization will measure and assess program materials and activities on an on-going/continual basis.

Tool/instrument: Include type of information gathered (interview, survey, pre/post etc.) the tool/instrument, when it is administered, who is evaluated, any consent issues.

SECTION SIX: PROGRAM ADMINISTRATION (1 PAGE)

Section 6 page limit: 1 page, plus attachments

This section should outline the management structure and organizational capability for program implementation and the extent to which the project personnel are qualified. Include the following information:

- Personnel job descriptions, qualifications, and any background relevant to the primary prevention of sexual violence;
- Organizational chart with names and titles (*add as attachment*);
- List of board members (*add as attachment*);
- An overall agency budget (*add as attachment*).

SECTION SEVEN: BUDGET SUMMARY

The documents requested in section seven are NOT included in the 15-page limit.

This section should demonstrate how funds will be allocated. All funds budgeted in the grant must be supported by the project plan. Each budget item must be fully justified and/or explained in the budget narrative and related to the proposed project.

Budget summary should cover the anticipated project period: **July 1, 2016-June 30, 2017.**

See Appendix B for an example of a budget summary.

ATTACHMENTS

- Appendix A – Review Criteria and Scoring Sheet

- Appendix B – Budget Sheet Template
- Appendix C – Risk & Protective Factors
- Form 1 – Cover Sheet
- W-9

Agency Name: _____ Reviewed by: _____ Total Score: _____/100

Score will be assigned as follows:

- 1=Poor, fails to address the requirements in the RFP.
- 2=Fair, addresses the requirements in the RFP un-satisfactorily.
- 3=Good, addresses the requirements in the RFP satisfactorily.
- 4=Very good, addresses all requirements in the RFP and may exceed some.
- 5=Superior, addresses all requirements in the RFP and exceeds them.

Criteria	Score	Comments
Eligibility -Meets all eligibility requirements (governmental, non-profit, tribal)	Y/N	
Current or previous sub-awardee?	Y/N	
Submission (5 points) -Follows required format, submitted by deadline (organization name on each page, pages number, 12pt, TNF, DS)	/5	
Required Forms (5 point) Includes all completed required forms -Cover sheet -W-9 -Letter of support from UCASA	/5	
Prioritizing Underserved Communities (15 points, weighted) Target population is underserved -High need area -Rural area -LGBTQ community -Tribal community (applicants targeting tribes must be a) tribal agency or b) agency with primary purpose to serve tribes)	/15	
Section 2 Project Narrative, 3 pgs (10 points) -Demonstrates need through clear concise problem statement, including any relevant data -Applicant clearly describes population(s) affected	/10	
Section 3 Collaboration & Capacity, 3 pgs (15 points) -Demonstrates collaboration; Commitment to capacity building -Demonstrates organizational capacity and ability to carry out project plan, including staff roles -Demonstrates ability to provide prevention services to target population; Explanation of barriers -Demonstrates capacity to implement primary SV prevention programming	/15	
Section 4 Project Plan, 6 pgs (15 points) -Clearly describes project implementation -Describes broad goals and SMART objectives, 1-year project period -Includes outcome statement	/15	
Goals & Objectives (10 points, weighted) Does the project proposal meet one or more of the following: -Comprehensive primary prevention programming at multiple levels of the SEM -Informed by Risk & Protective Factors -Applies Principles of Prevention -Developmentally appropriate -Evidence-based/evidence-informed	/10	
Section 5 Evaluation, 2 pgs (10 points, weighted) -Describes plan for evaluating program	/10	
Section 6 Program Administration, 1 pg (5 points) Does the application describe the program administration, including: -Personnel job descriptions, qualifications, relevant background -Organizational chart with names and titles (<i>attachment</i>) -List of board members (<i>attachment</i>) -An overall agency budget (<i>attachment</i>)	/5	
Section 7 Budget Summary (10 points) -Reasonable for work proposed and project period -Includes brief explanation for each requested expenditure category	/10	
Letters -2 letters of collaboration from partner orgs (if applicable)	Y/N	

Appendix B

Primary Prevention of Sexual Violence

BUDGET SHEET FY17

July 1, 2016-June30, 2017

Instructions

- Categories not requesting funds for, leave blank.
- Add to any categories as necessary.

1. PERSONNEL				
Name/Position	RPE Hours per year		Hourly Wage	
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
			TOTAL	\$0.00

2. FRINGE BENEFITS-Fringe benefits applicable to direct salaries and wages are treated as direct costs.				
Name, Position	Fringe Benefit Rate		Yearly Salary	
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
			TOTAL	\$0.00

3. CONSULTANT - A consultant is an individual hired to give professional advice or services for a fee but not as an employee of the hiring party.				
Name, Organizational Affiliation, Service Provided	Hourly Rate		Provided Hours	
	\$0.00	x		= \$0.00
	\$0.00	x		= \$0.00
	\$0.00	x		= \$0.00
Travel, Per Diem, and Other Related Expenses				
	\$0.00	x		= \$0.00
	\$0.00	x		= \$0.00
	\$0.00	x		= \$0.00
			TOTAL	\$0.00

Provide justification for consultant costs and description of duties.

4. EQUIPMENT - For state and local governments (under 45 CFR Part 92), equipment is defined as "an article of tangible, nonexpendable, personal property having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit. List each item of equipment separately and provide cost of each item. Give justification for each item of equipment by relating it to program objectives.				
Item	Quantity		Unit Price	
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00
		x	\$0.00	= \$0.00

	\$0.00	x		=	\$0.00
	\$0.00	x		=	\$0.00
	\$0.00	x		=	\$0.00
	\$0.00	x		=	\$0.00
	\$0.00	x		=	\$0.00
				TOTAL	\$0.00

Detail and Justification

Appendix C - Risk and Protective Factors for Victimization and Perpetration

There are contributing factors that may increase the likelihood, or decrease the probability, of an individual's risk for sexual violence perpetration or victimization. While these factors may contribute to the likelihood of perpetration or victimization they are not direct causes. Many people may be "at risk" but never perpetrate sexual violence or become a victim. Protective factors may reduce the likelihood of perpetration or victimization by buffering or providing a resilience against risks.

Risk Factors for the Perpetration of Sexual Violence

Individual Risk Factors	Relationship Risk Factors	Community Risk Factors	Societal Risk Factors
<ol style="list-style-type: none"> 1. Alcohol and drug use. 2. Coercive sexual fantasies and other attitudes and beliefs supportive of sexual violence. 3. Impulse and antisocial tendencies. 4. Preference for impersonal sex. 5. Hostility towards women. 6. History of sexual abuse as a child. 7. Witnessed family violence as a child. 	<ol style="list-style-type: none"> 1. Associate with sexually aggressive and delinquent peers. 2. Family environment characterized by physical violence and very few resources. 3. Strongly patriarchal family environment. 4. Emotionally unsupportive family environment. 	<ol style="list-style-type: none"> 1. Poverty. 2. Lack of employment opportunities. 3. Lack of institutional support from police and judicial systems. 4. General tolerance of sexual assault within the community. 5. Weak community sanctions against perpetrators of sexual violence. 	<ol style="list-style-type: none"> 1. Societal norms supportive of sexual violence. 2. Societal norms supportive of male superiority and sexual entitlement. 3. Weak laws and policies related to sexual violence. 4. Weak laws and policies related to gender equality. 5. High level of crime and other types of violence.

Risk Factors for the Victimization of Sexual Violence

Individual Risk Factors	Relationship Risk Factors	Community Risk Factors	Societal Risk Factors
<ol style="list-style-type: none"> 1. Being female. 2. Being young. 3. Consuming alcohol or drugs. 4. History of sexual violence victimization. 	<ol style="list-style-type: none"> 1. Being married. 2. Having many sexual partners. 	<ol style="list-style-type: none"> 1. Living in poverty. 	<ol style="list-style-type: none"> 1. Societal norms supportive of sexual violence. 2. Societal norms supportive of male superiority and sexual entitlement. 3. Weak laws and policies related to sexual violence. 4. Weak laws and policies related to gender equality. 5. High level of crime and other types of violence.

Protective Factors for the Perpetration and Victimization of Sexual Violence

Individual Protective Factors	Relationship Protective Factors	Community Protective Factors	Societal Protective Factors
<ol style="list-style-type: none"> 1. Problem solving skills. 2. Sense of self-efficacy. 3. Good peer relationships. 	<ol style="list-style-type: none"> 1. Parental supervision. 2. Caring/respectful relationships 3. Social support. 	<ol style="list-style-type: none"> 1. Support/belonging. 	<ol style="list-style-type: none"> 1. Availability of services.

<p>APPLICATION FOR SEXUAL VIOLENCE PRIMARY PREVENTION GRANT FUNDS</p> <p>STATE OF UTAH DEPARTMENT OF HEALTH VIOLENCE & INJURY PREVENTION PROGRAM PO BOX 142106 SALT LAKE CITY, UTAH 84114-2106</p>	<p>1. Contract Person</p> <p>Name:</p> <p>Telephone:</p> <p>E-mail:</p>
	2. Applicant Agency Name and Mailing Address:
3. Type of Application (check one) <input type="checkbox"/> Initial <input type="checkbox"/> Continuation of Award # _____	4. Scope of Project (check one) _____ State _____ City (Specify) _____ County (Specify) Salt Lake County Other (Specify) _____
5. Funding Amount Requested \$	6. Beginning/Ending Dates of Program August 1, 2016 to July 31, 2017
7. Does the Award <input type="checkbox"/> Enhance an Existing Program <input type="checkbox"/> Initiate a New Program	8. Type of Implementing Agency <input type="checkbox"/> Rape Crisis Center <input type="checkbox"/> Woman's Shelter <input type="checkbox"/> Private Non-Profit <input type="checkbox"/> Governmental Agency <input type="checkbox"/> Native American Tribe
9. Federal Tax Identification Number	10. Project Title

11. Project Budget Summary	Requested Funds for 2016-2017
• Personnel	
• Contracted Fees	
• Equipment	
• Travel/Training	
• Supplies/Operating	
• Other	
• TOTAL COSTS	

12. Official Authorized to Sign	13. Program Director
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<p>14. Signatures</p> <p style="text-align: center;">_____</p> <p style="text-align: center;">Authorizing Official</p> <p style="text-align: center;">_____</p> <p style="text-align: center;">Program Director</p>	
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Request for Taxpayer Identification Number and Certification

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

Print or type See Specific Instructions on page 2.	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; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> 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) _____ <i>(Applies to accounts maintained outside the U.S.)</i>	
	5 Address (number, street, and apt. or suite no.)	
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	
Requester's name and address (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 Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 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 on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.
Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

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? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),

3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* above.

What is FATCA reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account, list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note. ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C Corporation, or S Corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box in line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box in line 3.

Limited Liability Company (LLC). If the name on line 1 is an LLC treated as a partnership for U.S. federal tax purposes, check the "Limited Liability Company" box and enter "P" in the space provided. If the LLC has filed Form 8832 or 2553 to be taxed as a corporation, check the "Limited Liability Company" box and in the space provided enter "C" for C corporation or "S" for S corporation. If it is a single-member LLC that is a disregarded entity, do not check the "Limited Liability Company" box; instead check the first box in line 3 "Individual/sole proprietor or single-member LLC."

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space in line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a) 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note. You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on this page), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, or 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code* earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 2.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.