

City of Raleigh Equity and
Inclusion Department

Human Service ARPA Funding Information Session

September 13, 2021



Raleigh





Agenda

1. Overview
2. Application Guidelines
3. Application Review & Checklist
4. Subrecipient Expectations
5. Questions and Answers



Raleigh Human Relations Commission and ARPA

- Raleigh's Human Relations Commission (HRC) serves as an advisor to City Council in the area of human services (promotes human rights and dignity, equal opportunity and harmony)
- In July of 2021, Raleigh City Council determined that the Raleigh HRC would make ARPA funding determinations by identifying qualified agencies that **provide direct services** and **address human needs** within Raleigh.
- The Human Relations Commission reviews applications and provides recommendations for awards funding to City Council.
- The Department of Equity and Inclusion administers the Human Service Agency Funds and supports the Human Relations Commission.



Program Timeline

DATE	DESCRIPTION
September 1, 2021	NOFA Issued
September 24, 2021	Proposals due by 12 PM
October 2021	Proposals reviewed and scored
November 2021	Agencies notified of recommended funding amount
November 2021	Contracts executed



Contract Period and Agency Responsibilities

- Timely submission of quarterly reports, metrics, and invoices
- Site visits will be required to review progress. Please note:
 - May be in-person or virtual
 - Will occur on a quarterly basis
 - May include a combination of City of Raleigh staff and grant committee members
- End of year Annual Report



Target Groups

Target group definitions as defined by the City of Raleigh :

Youth: Any person 19 years old or younger

Elderly: Any person 55 years old or older

People experiencing homelessness: Anyone who does not have a permanent residence; to include individuals experiencing domestic violence who are facing loss of their residence due to threat of bodily harm and any person who is facing eviction (e.g., having received notice to vacate property)

Disability: Any person who has a physical or mental impairment which a substantially limits one or more major life activities; has a record of such impairment; or is regarded as having such impairment. This definition is consistent with the definitions found in federal law regarding a disabled person. The definition excludes active alcoholism or drug addiction and conditions that are temporary in nature

Substance Users: Any person who uses alcohol and/or drugs to the point that it affects their ability to cope with themselves and creates problems for their family, neighbors, and community



Eligibility Requirements

The following criteria are minimum qualifications for an application to be considered:

- ✓ Not-for-Profit & 501c3 Status
- ✓ Proposed programs and projects must benefit low-income persons and households residing in Raleigh. Applicants should also have a documented history of directly serving Raleigh residents.
- ✓ Only projects or programs that have been established and providing services for at least one year will be considered.
- ✓ Qualified applicants must have at least one year of recent experience in the delivery of services to the specified target group(s) and demonstrate sensitivity to the special needs of their clientele.
- ✓ Qualified applicants must present proof of an externally conducted audit that occurred within the last two years, including financial statements and management letters



Eligibility Requirements (cont.)

The following criteria are minimum qualifications for an application to be considered:

- ✓ Agencies must be specific about the requested amount and provide detailed information concerning the use(s) of awarded funds. An applicant may only request an amount greater than or equal to \$25,000. Grants will be award to agencies on a case-by-case basis as funding allows.
- ✓ Fiscal Responsibility: Adheres to Generally Accepted Accounting Principles (GAAP)
- ✓ Applicants can be awarded in only two grant categories (applies to all CoR grant categories)



Raleigh

Eligible Uses

The following costs are eligible so long as they are directly connected to a program/project serving a target population:

- **Materials and supplies costs, including costs of computing devices:** The costs incurred for materials and supplies necessary to directly serve/carry out the Federal award are allowable. Materials and supplies used for the performance of a Federal award may be charged as direct costs.
- **Training and education costs:** The costs of training and education provided for employee development
- **Publication and printing costs:** Publication costs for electronic and print media, including distribution, promotion, and general handling
- **Memberships, subscriptions, and professional activity costs:** The costs of membership in business, technical, and professional organizations
- **Compensation and fringe benefits costs:** Compensation and remuneration for service of employees rendered during the period of performance under the Federal award, including wages and salaries

Application Review & Checklist





Raleigh

Agency & Program Overview

1. Brief history of the organization, including mission and goals, date of incorporation, years of operation.
 1. What is your agency's qualifications & experience?
2. Provide a description of how your program addresses societal needs and benefits Raleigh residents.
 1. Are program goals and objectives clearly defined?
 2. Is target group is well defined?
 3. Why do you think your program will meet the needs of your target population?
 4. What will be achieved through this program?
3. Share how clients are served, eligibility criteria for services, admission and discharge of clients, and follow-up activities.
 1. The outputs, outcomes and results are clear and tangible
 2. What does success look like & how will you know when you've gotten there?



Application Checklist

Letter of Intent and typed proposal with the following:

- Brief organizational description
- Job descriptions of key staff involved in the project
- Primary contact person
- Type of services proposed and if a new or existing program
- The capacity/number/type of clients that can be served with requested funding
- A timeline for implementation
- Outreach strategies
- Staffing needs
- Program costs/resource needs
- Tracking accomplishments and recording demographic data
- Agreements/MOU's if partnering with other entities
- Plans for continuing the program after contract's end
- Demographics of the board (ex: gender, ethnicity, age, etc.)



Application Checklist (cont.)

A proposed project/program budget including the following:

- If an expansion of a current program, include a copy of the current budget
- Define/delineate separate programs
- Identify all direct program/project costs
- Allocation of staff salaries, benefits, and taxes
- Identify program specific categories



Application Checklist (cont.)

Lastly, please be prepared to include each of the following:

- List of Board Members
- Most recent IRS 990 form indicating current IRS 501(c)(3) status
- DUNS and EIN Numbers
- Documentation of most recent audit, which must be
 - Externally conducted by a licensed CPA
 - Conducted within the last 2 years (2019 or more recent)
- Organization by-laws
- Articles of incorporation
- Organization policies including personnel, formal non-discrimination, procurement, accounting
- Current Certificate of Insurance for the grant period*



Contractual Requirements

Specifying the terms and conditions of funding, procedures for payment of funds, reporting, monitoring and evaluation requirements and a detailed schedule of services.

- Demonstration that the grant recipient:
 - Meets City insurance coverage requirements
 - Has an organizational conflict of interest policy
 - Adheres to Generally Accepted Accounting Principles (GAAP)
- Provision of audited financial statements to the City for grants of \$25,000 or more (all Human Service ARPA grants)
- Grant payments are made once verification of expenses is received



Insurance Coverage Requirements

Please reference handout titled “City of Raleigh Human Services Agencies Grant Applications: Insurance”

Commercial General Liability

- Each Occurrence: \$1,000,000
- Personal and Advertising Injury: \$1,000,000
- General Aggregate Limit: \$2,000,000
- Products and Completed Operations Aggregate: \$2,000,000

*Coverage shall not contain any endorsement(s) excluding nor limiting in Product/Completed Operations, Contractual Liability, or Cross Liability

Commercial Automobile Liability

- Minimum Combined Single Limit of \$1,000,000.
- Coverage shall include liability for Owned, Non-Owned and Hired automobiles.
- Do not own automobiles, Service Provider agrees to maintain coverage for Hired and Non-Owned Auto Liability, which may be satisfied by way of endorsement to the Commercial General Liability policy or separate Auto Liability policy

*Automobile coverage is only necessary if vehicles are used for services or brought on a City of Raleigh site.



Umbrella or Excess Liability

- There is no minimum Per Occurrence limit of liability under the Umbrella or Excess Liability, however, the Annual Aggregate limits shall not be less than the highest ‘Each Occurrence’ limit for required policies.



Insurance Coverage Requirements

Please reference handout titled “City of Raleigh Human Services Agencies Grant Applications: Insurance”

Workers Compensation & Employers Liability

- Maintain Worker’s Compensation Insurance in accordance with North Carolina General Statute Chapter 97 statutory limits
- If not required under North Carolina General Statute Chapter 97 to maintain Worker’s Compensation insurance, the City of Raleigh’s Workers Compensation Indemnity Agreement must be completed

EL minimum limits:

- Bodily Injury by Accident: \$100,000 each accident
- Bodily Injury by Disease: \$100,000 each employee
- Bodily Injury by Disease: \$100,000 policy limit

Additional Insured

- The AI endorsement on the COI shall read “ City of Raleigh as its interest may appear”

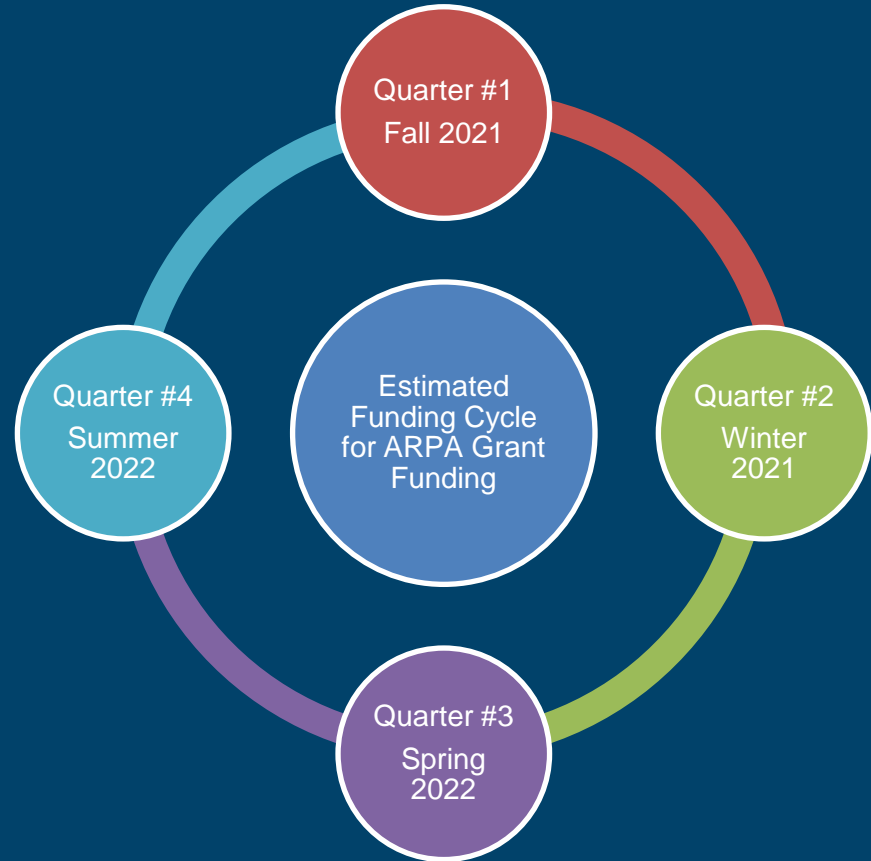
Certificate of Insurance

- All insurance companies must be authorized to do business in NC and be acceptable to the City of Raleigh’s Risk Manager
- The Certificate Holder address must read:
City of Raleigh
Post Office Box 590
Raleigh, NC 27602-0590



Payment of funds

*Distribution of funds
are made quarterly, on
a reimbursement basis*



Expectations of Subrecipient





What is a Subrecipient?

An entity that receives a subaward from a pass-through entity to carry out part of a Federal award.

U.S. Department of the Treasury >

City of Raleigh (pass-through entity) > Subrecipient



Uniform Grant Guidance

2 CFR 200 (Code of Federal Regulations)

- Federal Office of Management and Budget regulations that govern federal grant management
- Guidance includes regulations indicating the City must monitor subrecipients



Compliance Expectations

City of Raleigh will...

- Conduct a risk assessment on each subrecipient
- Develop a monitoring plan as a result of risk assessment
- Monitor subrecipient costs and activities
- Document evaluation and monitoring



The City of Raleigh is required to...

Monitor the activities of the subrecipients to ensure:

- Subaward is used for authorized purposes
- Subaward is in compliances with federal statutes, regulations and the terms and conditions of the agreement with the City
- Subaward performance goals are achieved



Compliance Expectations

Subrecipient will...

- Comply with subaward terms and conditions, along with all applicable laws and regulations for the federal award
- Ensure only allowable costs and activities spent with subaward
- Perform the work as outlined in the subaward agreement
- Monitor contractors and sub-subrecipients

Common Audit Concerns





Internal Controls

Definition - Processes designed and implemented to support the achievement of objectives in the following categories:

- Effectiveness and efficiency of operations
- Reliability of reporting
- Compliance with applicable laws and regulations



Review Controls

Common Audit Concern: One person serves as both the preparer and the reviewer.

Recommendation: Have processes in place that allow for both a preparer and a reviewer. Document those processes.

Examples: Review of grant agreement requirements, preparation and review of financial and performance reports



Lack of Policy and Procedure Development

Common audit concern: Policies and procedures were not created for specific grant-related tasks.

Recommendation: Create and update policies and procedures to describe the key procedures that staff follow in administering grant funds.



Lack of Documentation Retention

Common Audit Concern: Failures to retain supporting documentation

What is required: Documentation will need to be retained until December 31, 2031.

Recommendation: Develop procedures and protocols to ensure supporting documentation is maintained for the proper time period.



Raleigh

Lack of Adequate Documentation



Common audit concern: Inadequate documentation to prove allowability

What is required: There should always be a sufficient level of documentation that adequately supports and demonstrates the expenditure incurred is reasonable, related to the grant, and was properly accounted for (see allowable cost determinations within 2 CFR 200.400 series).

Recommendation: Document! Document! Document!



Resources

- Electronic version of Uniform Grant Guidance - 2 CFR 200:
https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=b3264dcd6d38ec017b945818d9cb265c&mc=true&n=pt2.1.200&r=PART&ty=HTML#se2.1.200_11
- Grants.gov
- MyFedTrainer.com

Questions?

If you need assistance or have questions regarding applying for funding, please contact:

Raleigh Department of Equity and Inclusion

Email: humanrelations@raleighnc.gov

