

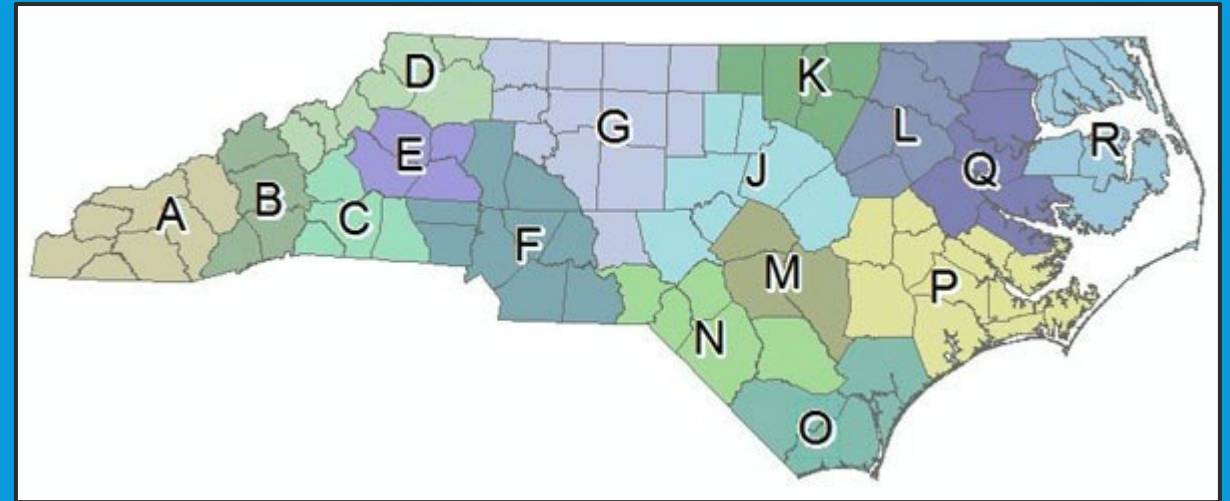


DIRECTED GRANT TRAINING

Southwestern Commission Council of Governments

WHO ARE WE?

- One of sixteen “councils of government” in the state of North Carolina.
- We serve as a technical, economic, and planning resource to local towns and counties in our western region.





DEPARTMENTS



COMMUNITY AND ECONOMIC DEVELOPMENT

WHAT ARE DIRECTED GRANTS?



You are receiving a Directed Grant from the NC General Assembly. This means that you probably had a conversation with one of your representatives and expressed your interest in receiving money to support your organization.



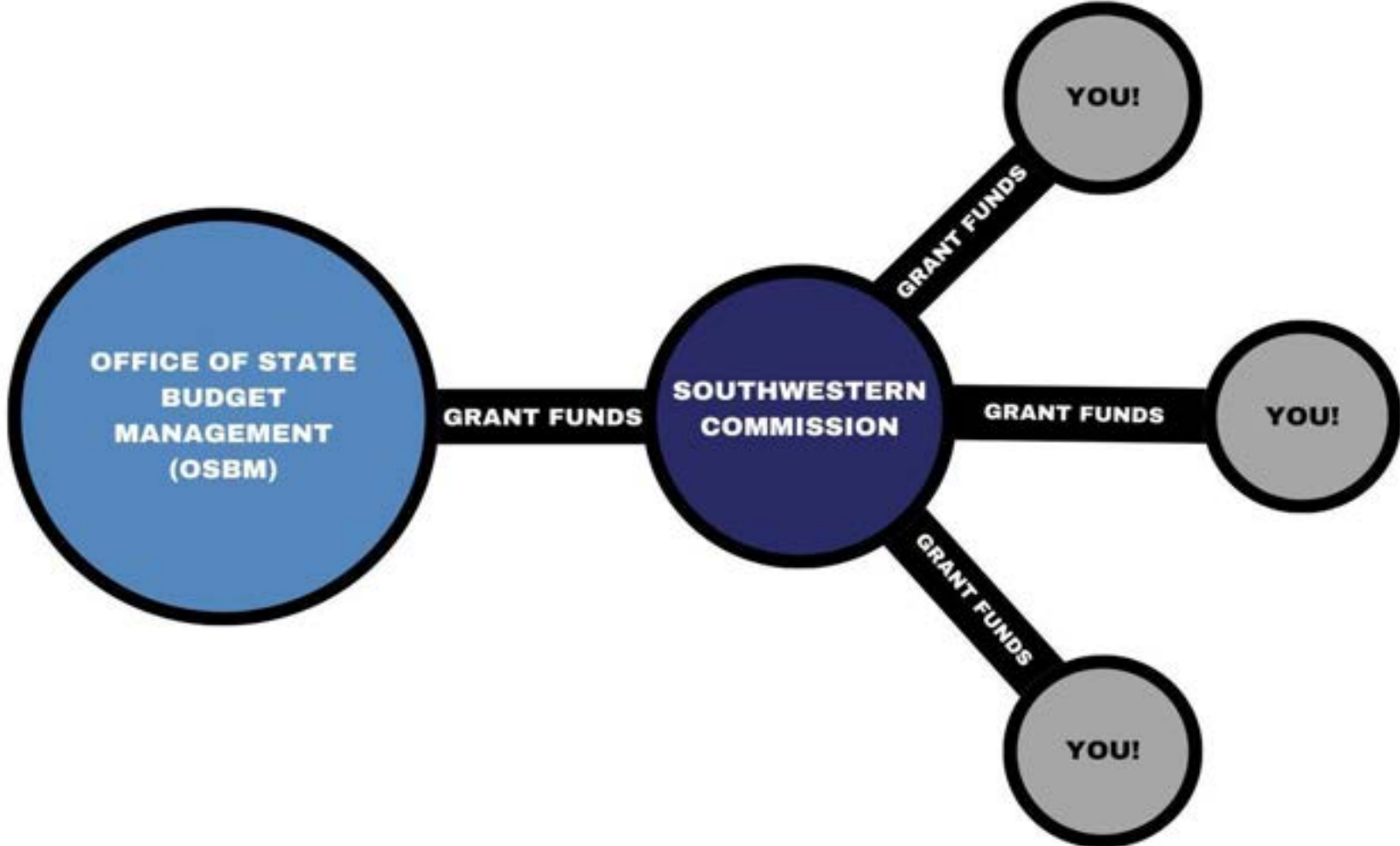
They then included your information in their requisition in the State budget.

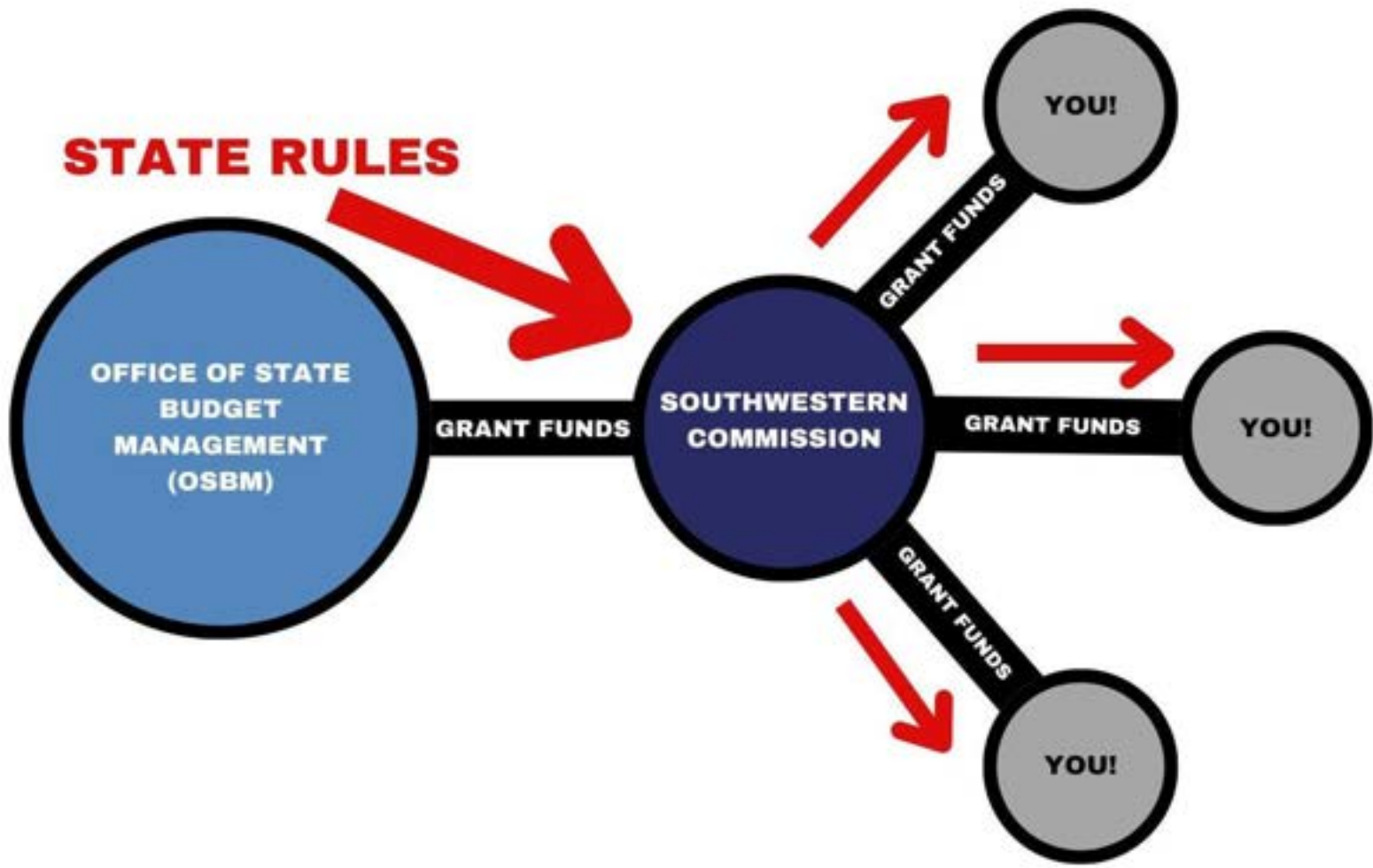


We, the Southwestern Commission, are managing these particular grants. You may get grants like these in the future that do not come through us.



In essence, the State entrusts us with the funds, which we then deliver to you while ensuring adherence to all regulatory protocols, including activity and reporting obligations.







RULES AND REGULATIONS

- These grants differ significantly from donations provided by private individuals or organizations.
- As taxpayer funds, they represent the collective contribution of the public.
- Thus, it is imperative for us to have visibility into the allocation of these resources, ensuring transparency and accountability.

RULES AND REGULATIONS

- Directed grants, unlike other State and Federal grants, have comparatively straightforward requirements.
- However, the simplicity of these requirements underscores the importance of executing them with thoughtful diligence.



RULES AND REGULATIONS

- RULE #1: You MUST have a clearly defined project.
- RULE #2: You MUST set clear performance measures for your project.
- RULE #3: You MUST fill out the Scope of Work document with the details of your project, its performance measures, and a budget.
- RULE #4: Your project MUST be approved by the OSBM.
- RULE #5: You MUST follow State procurement law.
- RULE #6: You MUST report on your project every quarter.
- RULE #7: You MUST submit the proper documentation to be reimbursed.
- **Bonus Rules:** You cannot use these funds for religious purposes, partisan purposes, debt service, or salaries that exceed \$120,000.



**RULE #1: YOU MUST HAVE A
CLEARLY DEFINED PROJECT**

CLEARLY DEFINED PROJECTS

- It's crucial to have a precise plan for how the funds will be utilized.
- With a two-year timeline from the grant announcement until completion by October 3rd, 2025, projects must be both specific and achievable.
- This means having a clear understanding of what needs to be done, as well as how and when it will be accomplished.

CLEARLY DEFINED PROJECTS

COMPLETE PROJECT DESCRIPTION

- “Funds will be used to install a new HVAC system at the Jackson County Recreation Department facility in Cullowhee, North Carolina.”
- “Funds will be used to purchase thirteen Chromebooks and ten Verizon Jetpacks for use in the ‘Digital Senior Initiative’ at the Jackson County Public Library.”

INCOMPLETE PROJECT DESCRIPTION

- “We will use the funds to continue our current operations.”
- “We will buy some equipment.”

RULE #2: YOU MUST SET CLEAR PERFORMANCE MEASURES FOR YOUR PROJECT



WHAT ARE PERFORMANCE MEASURES?



In this context, performance measures are a list of very specific action items that you will use to define your “success” within your project.



You have to use the performance measures allowed by the OSBM.

PERFORMANCE MEASURES DEFINED BY THE OSBM

On their site, the OSBM defines performance measures as “List the steps it will take to accomplish the project(s) supported by these grant funds.”

They elaborate by saying “If the project is programmatic, list the estimated measurements for project outcomes.”

PERFORMANCE MEASURES



- For **construction projects** – performance measures can/should be:
 - 1. Hire Contractor/Designers
 - 2. Design Development Complete
 - 3. Permitting/Construction Documents
 - 4. Begin Construction/Order Materials
 - 5. Open new [site] to the public
- This is the MINIMUM amount of detail required. Please provide more. Provide dates if you can.

PERFORMANCE MEASURES



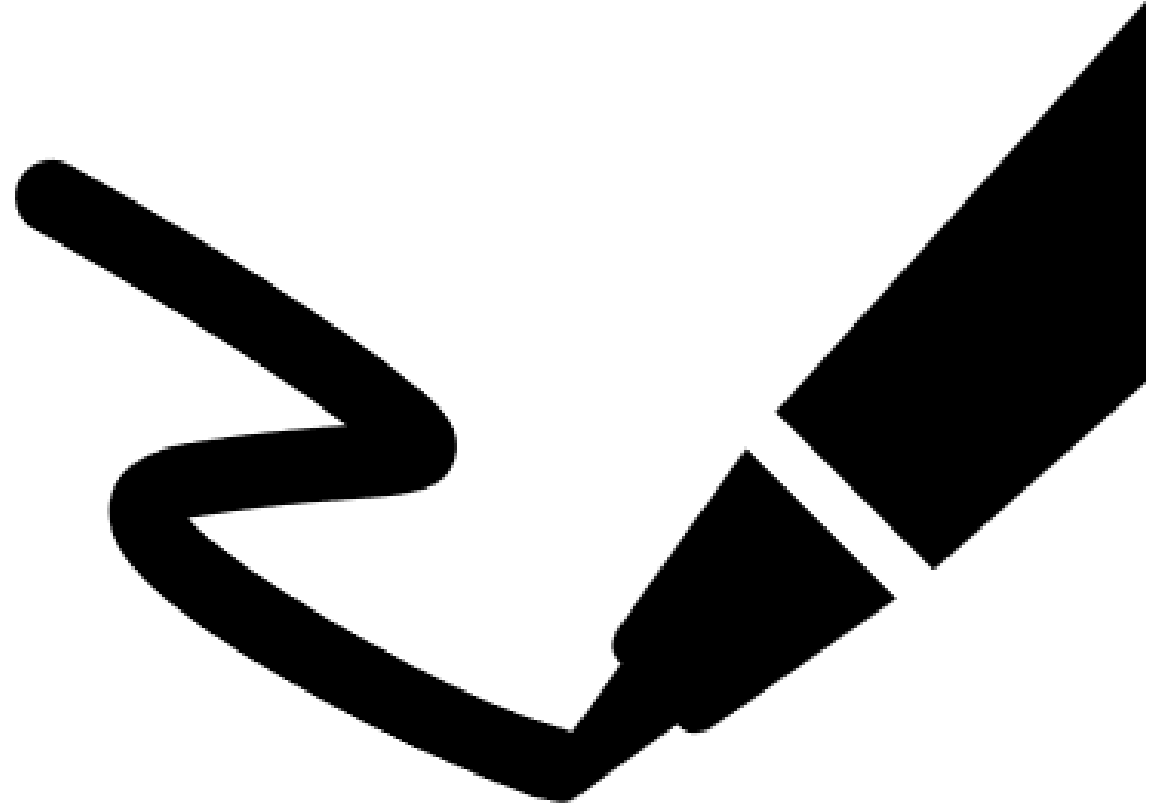
- For **equipment purchases** performance measures can be:
 - 1. Source equipment using State procurement law.
 - 2. Order equipment.
 - 3. Receive equipment.
 - 4. Put equipment into service.
 - 5. Equipment serves [insert population].
 - 6. Equipment will [accomplish specific outcome].



RULE #3: YOU MUST FILL OUT THE SCOPE OF WORK DOCUMENT WITH THE DETAILS OF YOUR PROJECT AND ITS PERFORMANCE MEASURES

WHAT IS A "SCOPE OF WORK?"

- The Scope of Work is a document required by the State that outlines the details of your project and how you will measure your success.
- Let's walk through some examples straight from the OSBM together.



Appendix A Scope of Work, Sub-Grants, and Annual Budget

As part of this grant agreement, you are required to provide a description of how you will spend the grant funds in compliance with the specific purpose as stated in the Appropriations Act ("Scope of Work"). You are also required to submit information related to any potential sub-grants and a budget for the grant funds. **Please attach additional sheets as necessary.**

1. Organization: Example City	
2. Grant ID: 10001	
3. Scope of Work Objectives, Results, Performance Measures:	
Recipient shall detail below how the organization will spend the grant funds in compliance with the specific purpose(s) as stated in the Appropriations Act. The description should include objectives to be achieved, expected results and performance measures. The description should also include anticipated timing of those objectives, expected results and any services provided.	
Objective(s): How do you plan to spend your grant funds? What project(s) do you want to accomplish?	To help support a large portion of the design and construction of a new community center containing fitness spaces; including an indoor pool, gymnasium, walking track, multipurpose rooms and outdoor tennis courts, basketball courts, playground and splash pad. Funding will be used to support the design, pre-construction services, construction materials and construction of the facilities. Additional funding sources have been established for this project to cover the costs that exceed the funds awarded in this grant.
Expected Results: What do you hope will be accomplished through the projects supported by these grant funds?	Complete a new community center where all ages can gather and use the facilities to help improve the health and wellness of our citizens.
Performance Measure(s): List the steps it will take to accomplish supported by these grant funds.	1. Hire Contractor/Designers 2. Design Development Complete 3. Permitting/Construction Documents 4. Begin Construction/Order Materials 5. Open new Community Center to the public
If the project is programmatic, list the estimated measurements for project outcomes.	

Here, we'll put our pre-established objectives. This example is for a construction project. Notice how this example is phrased and structured. It's clear, concise, but detailed enough to explain exactly what they are doing.

Here, we'll put our expected results. This should be fairly self explanatory.

Here's where you put those performance measures. Be detailed in what steps you will take to complete your project. Give it some forethought.

Please put your organization's legal name here.

This number is something we'll fill in for you. **You can ignore it.**

4. Sub-grants:

a. Does the Recipient anticipate that it will sub-grant or pass down any funds to another organization? Yes No

If yes, answer the following:

b. Name of Sub-recipient	c. Program Name	d. Amount to Sub-recipient

You won't have sub-recipients, so you can check "no" here.

5. Budget:

Below are general expenditure descriptions that can serve as a guide for preparing the organization's budget related to the grant award. Please provide a breakdown of estimated expenses for each category below or as an attachment.

The following budget is for the time period beginning (7/1/2023) and ending (6/30/2025).

EXPENDITURE DESCRIPTION	AMOUNT
Employee Expenses (ex. Salaries, hourly wages for grant project management, program related staffing).	\$30,000.00
Administration Expenses (ex. utilities, telephone, data, lease related expenses)	\$49,500.00
Goods Expenses (ex. supplies and equipment)	\$332,200.00
Contract and Services Expenses (ex. Designers, Architects, Builders, Programmatic Service Providers)	\$413,000.00
Other Expenses (ex. related charges not assigned above and described by recipient in breakdown below)	
Total Balance of the Project Fund (Grant total amount)	\$1,504,700.00

These dates will always be the same. The grant starts on **July 1st, 2023** and ends on **October 3rd, 2025**. Use these dates.

Provide a breakdown of estimated expenses for each category below or as an attachment.

See attachment for full breakdown
 Employee Expenses: Grant Management and compliance reporting - \$30,000.00
 Administrative Expenses: Utilities - \$49,500.00
 Goods: Amenities - \$332,200.00
 Contract: Engineering/Design/Site Prep) - \$413,000.00
 Other Expenses:
 Paving: \$680,000.00
 Landscaping: \$106,470.00
 Full Project Total: \$1,504,700.00

Please note, you will sign off on this appendix as part of executing the Grant Agreement (Contract).

John Helpful _____ City Manager _____

Printed Name Title

John Helpful _____ 11/7/2023 _____

Signature Date

You need to **PRINT** your name and then **SIGN** your name here.

You need to have a DETAILED budget prepared for your project. Plus, you need to have selected which "category" each of your expenses falls into. We'll talk about that later.

Something else to consider. These budgets cannot be changed without great effort, so be very careful and thoughtful in crafting them. **We cannot reimburse you for expenses outside of what you designate in these budgets.**

BUDGET

- Please include a detailed budget breakdown for your project. The example the OSBM provides looks like this, but you may have other ways of crafting budgets. Just make sure you provide the necessary detail and think through your expenses fully.
- This is a REQUIRED piece of the Scope of Work.

ESTIMATED BUDGET FOR SCIF GRANT 1 MILLION

Administrative Expenses (1 staffer)	\$30,000.00
Employee-Total	\$30,000.00

Water & Sewer Services Connection	\$13,500.00
Electrical	\$11,000.00
Lighting	\$25,000.00
Admin - Utilities Total	\$49,500.00

Indoor Basketball Court, Walking track and equipment	\$169,400.00
Multi-Purpose Rooms and Furniture	\$43,500.00
Drinking Fountains	\$10,000.00
Bicycle Rack	\$2,800.00
Basketball Court	\$23,000.00
Tennis Courts (Pickleball)	\$29,500.00
Splash Pad	\$24,500.00
Playground -Various Ages	\$29,500.00
Equipment - Amenities Total	\$332,200.00

Engineering/Design	\$304,000.00
Site Prep	\$74,000.00
Sedimentation and Erosion Control	\$18,000.00
Drainage Improvement	\$17,000.00
Contracts-Total	\$413,000.00

Asphalt Paving	\$627,000.00
Mis Asphalt/Concrete Walkways	\$40,000.00
Parking Striping	\$13,000.00
Other - Paving- Total	\$680,000.00

Small Trees	\$25,200.00
Shrubs	\$4,050.00
Perennials	\$720.00
Turf	\$56,000.00
Mulch	\$20,500.00
Other - Landscaping- Total	\$106,470.00

Total Budget	\$1,504,700.00
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Appendix A Scope of Work, Sub-Grants, and Annual Budget

As part of this grant agreement, you are required to provide a description of how you will spend the grant funds in compliance with the specific purpose as stated in the Appropriations Act ("Scope of Work"). You are also required to submit information related to any potential sub-grants and a budget for the grant funds. Please attach additional sheets as necessary.

1. Organization: "Example" Non-Profit	
2. Grant ID: 00111	
3. Scope of Work Objectives, Results, Performance Measures:	
Recipient shall detail below how the organization will spend the grant funds in compliance with the specific purpose(s) as stated in the Appropriations Act. The description should include objectives to be achieved, expected results and performance measures. The description should also include anticipated timing of those objectives, expected results and any services provided.	
Objective(s): How do you plan to spend your grant funds? What project(s) do you want to accomplish?	<p>Caring Center, Inc. provides counseling services and resources for victims of violence and the underserved, assistance for utilities, food, clothing, hygiene items and transportation services to Wake County and Johnston County residents. The Caring Center will use directed grant funds for operation and program costs. The grant will allow the Caring Center to add emergency housing, health screenings, and additional resources/supplies to services provided as well as help increase the number of residents served in the area by supporting additional positions to better serve residents in need.</p>
Expected Results: What do you hope will be accomplished through the projects supported by these grant funds?	<ul style="list-style-type: none"> - Increase the number of residents served in Wake and Johnston counties. - Increase group counseling - Provide transportation to SANE evaluations and FJC Centers for victims of violence. - Increase food and other needs provided to residents. - Provide emergency/temporary housing - Provide 2 Health Screening events free to the public for the area.
Performance Measure(s): List the steps it will take to accomplish the project(s) supported by these grant funds. If the project is programmatic, list the estimated measurements for project outcomes.	<p>Underserved Program:</p> <ol style="list-style-type: none"> 1. Number of Residents Receiving temporary housing 2. Number of residents receiving utilities assistance 3. Number of residents receiving food or clothing/hygiene items <p>Victims of Violence Program:</p> <ol style="list-style-type: none"> 1. Number of Counseling groups provided and number of participants 2. Number of Residents receiving transportation for SANE evaluation and/or FJC Center 3. Number of Victims Served <p>Emergency Housing Program:</p> <ol style="list-style-type: none"> 1. Number of Individuals receiving temporary housing (# of families, Individuals) <p>Health Screening Event: 2 events</p> <ol style="list-style-type: none"> 1. Purchase advertisement 2. Collaborate with local medical facilities and organizations for event participation and donations. 3. Verify required credentials for participants 4. Solicit donation from organizations and local businesses (Sponsors) 5. Obtain required permits 6. Purchase pamphlets, supplies,tents, signage, etc. 7. Hire Entertainment

The one big difference is that this is for a more “programmatically project.” You’ll note that the performance measures here are VERY detailed. This is what you’ll want to do if you have a programmatic project.

Make sure that your measures are QUANTIFIABLE.

Follow the same rules as before, but don't forget to make sure your budget is equally as detailed for a programmatic project.

4. Sub-grants:		
a. Does the Recipient anticipate that it will sub-grant or pass down any funds to another organization?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
If yes, answer the following:		
b. Name of Sub-recipient	c. Program Name	d. Amount to Sub-recipient

5. Budget:

Below are general expenditure descriptions that can serve as a guide for preparing the organization's budget related to the grant award. Please provide a breakdown of estimated expenses for each category below or as an attachment.

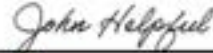
The following budget is for the time period beginning (7/1/2023) and ending (6/30/2025).

EXPENDITURE DESCRIPTION	AMOUNT
Employee Expenses (ex. Salaries, hourly wages for grant project management (program related staffing).	290,000
Administration Expenses (ex. utilities, telephone, data, lease related expenses)	
Goods Expenses (ex. supplies and equipment)	350,000
Contract and Services Expenses (ex. Designers, Architects, Builders, Programmatic Service Providers)	100,000
Other Expenses (ex. related charges not assigned above and described by recipient in breakdown below)	660,000
Total Balance of the Project Fund (Grant total amount)	1,110,000

Provide a breakdown of estimated expenses for each category below or as an attachment.

Employee Expenses - 1. Transportation 2. Underserved Program and Victims of Violence Program salaries - Intake Staff (2), Caseworker (3) , Administrative Staff (1) - \$290,000
 Services and Contracts - Counselors - \$100,000
 Goods Expense - Event supplies and program supplies (Food, Hygiene Items, clothing, diapers) - \$350,000
 Other Expenses - Temporary Lodging, Utilities Assistance - \$660,000

Please note, you will sign off on this appendix as part of executing the Grant Agreement (Contract).

John Helpful	Executive Director
Printed Name	Title
	11/7/2023
Signature	Date

WHAT "CATEGORY" DO MY EXPENSES FALL INTO?



USE
"EMPLOYEE
EXPENSES"
FOR SALARIES.



USE "SERVICE AND
CONTRACT
EXPENSES" FOR
ANYTHING YOU'RE
HIRING A
CONTRACTOR TO
DO. THIS
CATEGORY IS
WHERE MOST
CONSTRUCTION
EXPENSES WILL
GO.



USE "GOODS"
IF YOU'RE
BUYING
EQUIPMENT
OF ANY KIND.



USE
"ADMINISTRATION
EXPENSES" FOR
ANY COSTS
ASSOCIATED WITH
THE GENERAL
OPERATIONS OF
YOUR
ORGANIZATION
THAT ARE NOT
SALARIES.



DON'T USE
"OTHER
EXPENSES"
UNLESS YOUR
SITUATION IS
A VERY
STRANGE
ONE.



**RULE #4: YOUR PROJECT MUST
BE APPROVED BY THE OSBM**

WHO IS THE OSBM?

- Office of State Budget and Management
- They provide budget and policy analysis to the Governor, state agencies, and state legislature.
- Provide state agencies with services to support stewardship of public resources and prudent decision-making.
- Support agencies' financial control structures such as **grants management**, internal audits, and the oversight committee for retired state employees' health benefits.

CONTINUED...

- They manage the State budget and; thus, they manage these grants.
- They are the “end all be all” authority for directed grants.
- Your project must meet their guidelines and must be submitted to them for approval.
 - Their guidelines are not super stringent, but require the projects not be used for illegal, religious, or partisan purposes AND that the project be very clearly and correctly defined.
- They want to keep taxpayer money from being misspent.





HOW DOES THIS WORK?

- Once we receive all scopes of work, we will submit them to the State for approval.
- If there are problems with your scope of work, we will come back to you and ask you to revise it.

CONTINUED...

- Once we hear back from OSBM that your specific project has been approved, we will contact you and let you know that you can get started.
- DO NOT spend any funds prior to receiving State approval.



A wooden figure is positioned at the bottom of the frame, holding a white sign with a black question mark. The background is a solid yellow color. A blue horizontal band across the middle contains the text.

**RULE #5: YOU MUST FOLLOW
STATE PROCUREMENT LAW**

WHAT IS PROCUREMENT?

- The State of North Carolina has established precise regulations aimed at fostering prudent decision-making among grant recipients, encouraging them to explore various options and secure the most advantageous products or services at optimal prices.
- This established procedure is commonly referred to as "procurement."



PROCUREMENT REQUIREMENTS - WHAT DO I NEED TO DO?

If your project is less than \$30,000 – nothing.

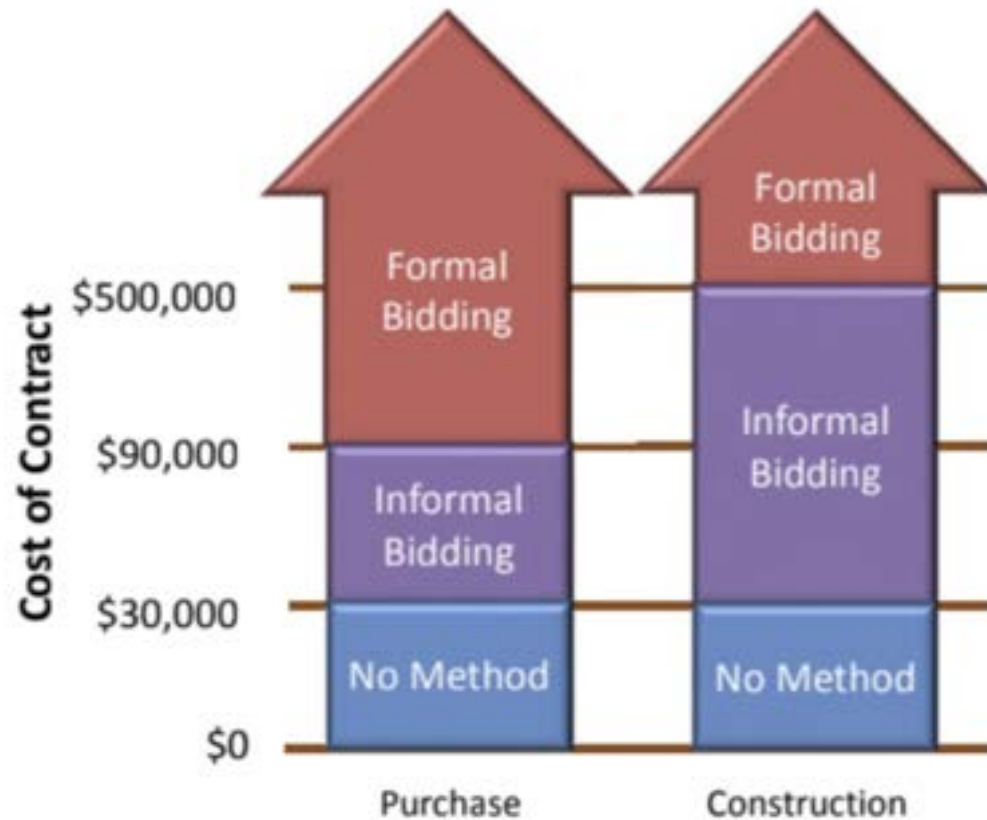
If your project is over \$30,000 you MUST:

If your project is over \$90,000 you MUST:

Solicit at least three “informal” bids.

Complete a “formal bidding” process.

A LITTLE MORE ELABORATION...



INFORMAL BIDDING

- In informal bidding, you need to receive at least THREE informal quotes from three different providers of the service or good you are seeking to purchase.
- Informal quotes have to be WRITTEN, not verbal, but can take any form beyond that.
 - It can be as simple as an email.

WHAT IF I CAN'T GET THREE QUOTES?

- You need to get a “denial of service” email.
- This could be as simple as an email saying “we can’t do this for you because we are too busy with other projects.”
- If you can’t get denials, then you’ll need to write a justification explaining your situation.
 - At this point, I’ll work with you to get the right documentation.

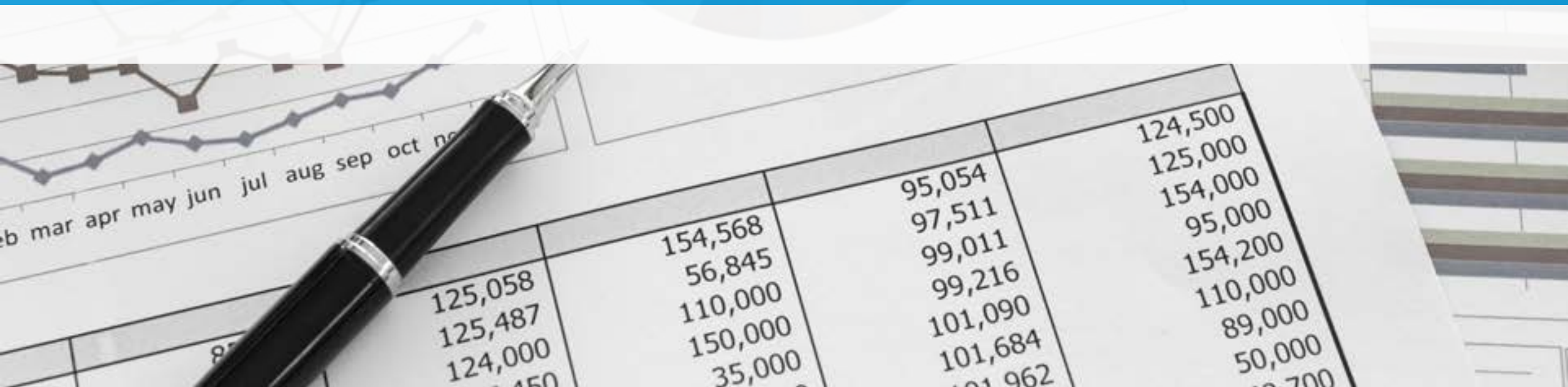
”

FORMAL BIDDING

- This gets complicated quickly.
- We will work with you on an individual level if this applies to you (and you have no experience doing formal bidding in the past.)



RULE #6: YOU MUST REPORT ON YOUR PROJECT EVERY QUARTER



REPORTING



We must report to the State if and how we're making progress on our projects.



So, we'll ask you to tell us where you are in your project every couple of months.

REPORTING

- You will need to submit your reports by these dates.
 - July 1, 2024
 - October 1, 2024
 - January 1, 2025
 - April 1, 2025
 - July 1, 2025
 - October 1, 2025

**Directed Grant
Quarterly Performance Report**

As required by your signed grant agreement with the North Carolina Office of State Budget and Management, you must report on your use of Directed Grant funds. This includes outlining activities, accomplishments, and performance measures associated with the grant.

Organization: Jackson County Recreation Department

Date: 04/01/2024

Reporting Period: 04/01/2024

Name: Anne Wade

Do you certify that all funds to date were used for the purposes for which they were awarded and in compliance with your contract? Yes No

Please provide a report of activities and accomplishments related to your Directed Grant Project(s) during this reporting period.

During this period, we solicited three bids from Vendor A, Vendor B, and Vendor C. The project remains on its original timeline.

Please provide an update on the objectives, as outlined in your Scope of Work, of the Directed Grant Project(s). Have you accomplished any of your objectives?

Objectives remain the same as in the Scope of Work. No objectives have been accomplished at this time.

Please provide an update on your expected results, as outlined in your Scope of Work, of the Directed Grant Project(s). Have you accomplished any of your expected results?

Expected results remain the same as in the Scope of Work. No expected results have been accomplished at this time.

Please provide an update on your performance measures, as outlined in your Scope of Work, for the Directed Grant Project(s).

Design Complete: 01/01/2024
Under Contract: 03/01/2024
Under Construction: 05/01/2024
Construction Complete: 08/01/2024
Placed Into Service: 09/01/2024

Fill in the required information here. The reporting period is the date that the report is DUE.

Use this section to describe what you're CURRENTLY DOING.

Provide an update on your expected results. Is anything done? Has anything changed?

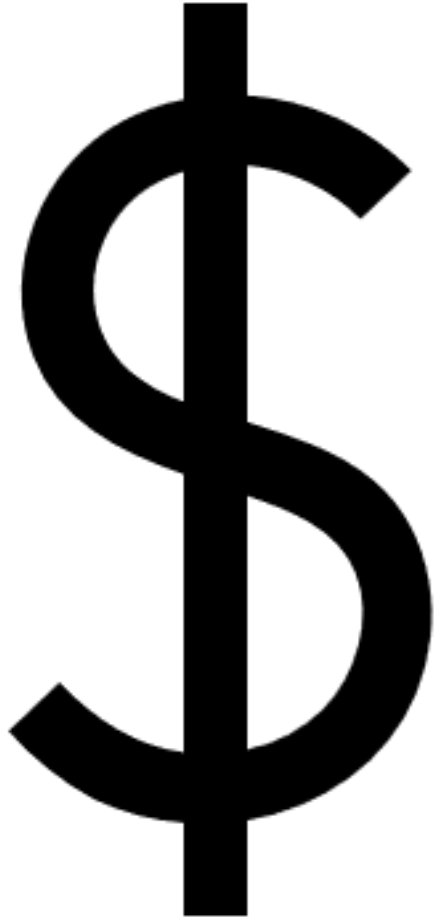
Select "Yes" here.

Provide an update on the objective(s) you described in your scope of work. Is anything done? Has anything changed?

Copy paste your performance measures from your scope of work. Update dates if needed.



RULE #7: YOU MUST SUBMIT THE PROPER DOCUMENTATION TO BE REIMBURSED



REIMBURSEMENT

- These grants act on a reimbursement basis. You will receive a check from us to reimburse your costs.

REIMBURSEMENT

- To be reimbursed you will need to:
 - Provide an invoice to the Southwestern Commission for the promised amount.
 - Submit proof of payment, such as a cancelled checks, along with all project-related receipts and invoices.
 - Timely submission of invoices is crucial for compliance with OSBM regulations.
 - Grants over \$30,000 require evidence of informal bidding; grants over \$90,000 require proof of formal bidding.
 - Include the reimbursement form along with the necessary documentation for processing.

IN SUMMARY

- To get reimbursed you'll need five things:
- 1) An invoice from you to us.
- 2) Proof of payment.
- 3) All invoices relevant to the project.
- 4) Proof that you followed procurement law.
- 5) The reimbursement form.

FAQ



Q: Can I change my project once I've submitted my scope of work and had it approved by the OSBM?

A: Yes, but you will need to re-fill out the scope of work document, and we will need to re-submit it to the OSBM for approval. **I would recommend not doing this if you can avoid it. In the past, it's taken about three to four months to do it. So, prepare to have your project be very delayed.**

Q: Our organization cannot front the funds for later reimbursement. What do we do?

A: Talk to us, and we'll work out a solution for each individual situation.

FAQ

Q: Do the funds really have to be spent by the October 3rd, 2025 deadline or is there flexibility?

A: There is no flexibility. You need to spend the funds by the deadline.

Q: How do you prefer we send you documents? Email? Mail?

A: Please send your documentation by email.



FAQ



Q: Who is my primary point of contact for this grant?

A: Coley Bartholomew will be your point of contact for all questions and concerns. You will also submit your quarterly reports to her, and she will file them. Her contact information is included at the end of these slides. We prefer that you email rather than call us with questions.

I, **Anne Wade**, will be managing everything on the backend. Coley may refer you to me when it comes time for your reimbursement. I may also contact you if there are issues with your documentation. Look out for emails from me.

The background of the slide is a dark, textured surface covered with numerous question marks. Some are in a light tan color, while others are in a dark blue color. A horizontal blue band is positioned across the middle of the slide, containing the word 'QUESTIONS?' in white, uppercase letters. Below this band is a thin white horizontal line.

QUESTIONS?

CONTACT INFORMATION

Coley Bartholomew

Project Manager

coley@regiona.org

Phone: 828-586-1962 x 205

Anne Wade

Project Manager

anne@regiona.org

Phone: 828-586-1962 x 214