



CLIMATE & CULTURAL RESILIENCE GRANT *Request for Proposals*

OVERVIEW

TIMELINE

Request for Proposal (RFP) Issued	February 8, 2017
Informational Webinar on RFP	February 22, 2017, Wed., 3pm EST
Submission Deadline	March 31, 2017
Grantees Notified	May 2017
Period of Performance Begins	June 1, 2017
Convening at EcoDistricts Summit	October 9 - 13, 2017

Apply online at
www.enterprisecommunity.org/financing-and-development/grants

Register for an informational webinar at
www.enterprisecommunity.org/research-and-resources/live-online-events

TYPES OF GRANTS

Climate and Cultural Resilience Grants will support five organizations to use arts and culture and community-engagement in a climate resilience project at the building or neighborhood scale.

Contact
design@enterprisecommunity.org

NUMBER OF GRANTS TO BE AWARDED

Five (5)

TOTAL AMOUNT TO BE AWARDED

\$100,000 per grantee

PERIOD OF PERFORMANCE

June 1, 2017 - May 31, 2018 (12 month grant award)

ELIGIBLE APPLICANTS

- Community Housing Development Organizations (CHDOs);
- Community Development Corporations (CDCs) as defined by the HUD Section 4 program definition; or
- Organizations serving Native American Populations with a defined mission that includes affordable housing including Tribes, Tribally Designated Housing Entities (TDHEs) or Tribal Housing Authorities (THAs).

Organization type
The applicable definitions are found in
"APPENDIX A:
ELIGIBLE ORGANIZATIONAL TYPES"

TARGET GEOGRAPHIES

Grants will be made to organizations in Chicago, Denver, Detroit, Gulf Coast, Mid-Atlantic, New York, Northern California, Ohio, Pacific Northwest, Southeast, and Southern California as well as rural and Native American communities.

Geography
For geographic eligibility, please refer to
"APPENDIX B:
DEFINITION OF GEOGRAPHIC AREA"





Hirabayashi Place, InterIM CDA
Seattle, WA

PROGRAM DETAILS

CLIMATE & CULTURAL RESILIENCE GRANT

The Climate and Cultural Resilience grant program supports community-based organizations in their efforts to create sustainable and resilient communities by leveraging creative placemaking strategies to strengthen the connection between cultural and climate resilience. By investing in both the built environment and social systems, community-based organizations and local residents will be more prepared to adapt and respond in the face of challenges.

Five Climate and Cultural Resilience grantees will be selected from community organizations in Enterprise's local markets as well as those working within rural and Native American communities. The grantees will identify a local climate resilience challenge and propose projects in which residents, artists and other creative and cultural practitioners collaborate to address the challenge. Proposed projects should aspire to build strong local partnerships, improve the climate resilience of buildings and systems, and elevate economic opportunities through project implementation.

Projects may be at the building or neighborhood scale and can range from plan-nign to implementation. Examples of projects from other communities include:

- stormwater infrastructure with artistic and educational public elements
- community-driven cultural asset mapping for neighborhood resilience plan
- creation and installation of a solar powered neighborhood utility
- rain barrel builds to capture rainwater and reduce flooding
- maker festival that initiates formation of a neighbor-to-neighbor network
- build-a-bike workshops to increase carbon-neutral mobility
- community collaborations that address resilient food systems

What is resilience?

Resilience is defined as the capacity for households, communities, and regions to adapt to changing conditions and to maintain and regain functionality and vitality in the face of stress or disturbance.

What is creative placemaking?

Creative placemaking is the intentional integration of the arts, culture, creativity, and design in comprehensive community development.

Suggested Reading

[Five Ways to Engage the Arts in Resilience](#)
Jason Schupbach

[What is Urban Resilience?](#)
100 Resilient Cities

[Community Resilience: A Cross-Cultural Study](#)
Fetzer Institute & Wilson Center

[Bringing Together Arts and Community Development](#)
Miriam Axel-Lute

TECHNICAL ASSISTANCE

Enterprise will assist selected organizations to utilize creative placemaking strategies and address climate resilience goals. Technical assistance may be provided in the form of: conducting climate vulnerability and risk assessment, facilitating development of project concepts, analyzing project feasibility, providing successful models from other communities, and advising on research, community outreach methods and processes for hiring local artists and cultural practitioners.

LEARNING COHORT

Grantees will participate in a peer learning cohort throughout the year, which will include regular online sessions and an in-person convening during the week of October 9-13, 2017 in Atlanta, GA.

OUTCOMES

Grantee projects should build both cultural resilience and climate resilience.

This program is intended to result in:

- Modifications to improve the resilience of the built environment and lead to a reduction in vulnerabilities while generating beneficial environmental, health, and economic outcomes.
- Enhancements that improve the resilience of the social fabric of the community and lead to more social cohesion, resident ownership, and connections to services and programs that support residents' long-term well-being and success.

INSTRUCTIONS & REQUIRED DOCUMENTATION

Proposal must be submitted through our [online portal](#). Applicants will create a profile and login, and submit all responses, attachments, and supplemental documents electronically. Applicants may save their responses and return to their applications at any time until March 31st, 2017.

Required materials include:

- Organization contact information
- Proposal narrative (short answer and extended response questions)
- Project budget (please use template provided on [grants page](#))
- Project timeline (please use template provided on [grants page](#))

SELECTION CRITERIA

Prospective grantees should describe how their organization and core partners will incorporate creative placemaking strategies in the context of a climate resilience project at the building or neighborhood scale. Program activities must address the needs of families with low income (80% AMI or lower).

Proposals should address how the project will:

- Address a climate resilience challenge or need in their community.
- Use creative placemaking strategies to shape the built environment and strengthen social fabric to address the challenge.
- Include local residents in defining project goals and implementation.
- Engage local artists, culture bearers, designers and other creative contributors.

Proposals will also be evaluated on how they:

- Describe the proposed type, scope, and expected impact of the project.
- Enhance cultural expression, community ownership, and climate resilience for local residents through this project.
- Advance inclusive solutions with equitable outcomes. Proposals should demonstrate an understanding of the project's ability to address concerns related to racial inequity, gentrification, and displacement.
- Demonstrate a desire and capacity for collaboration
- Articulate where additional expertise or assistance is needed for the project's success. Include information about how that expertise could be obtained from Enterprise or through other partnerships, training, sub-grants, or contracts.

Eligible Expenses

Funds for this program are provided by both private and public sources. For detailed budget instructions and eligible expenses, please review "[APPENDIX C: ELIGIBLE EXPENSES](#)"

Questionnaire for Subrecipients of Federal Funding

Enterprise, as a recipient of federal funding, must review and evaluate the risk associated with potential grantees prior to making awards. As such, after the submission deadline, applicants may be required to complete Enterprise's Questionnaire for Sub-Recipients of Federal Funding and provide the required supporting documentation. For contents of the Questionnaire, see "[APPENDIX D: QUESTIONNAIRE FOR SUB-RECIPIENTS OF FEDERAL FUNDING](#)"

PRINCIPLES & KEY TERMINOLOGY

Principles

We abide by and seek to fund work that follows these CREATE principles:

- **COLLABORATIVE:** invite people we don't usually work with to collaborate
- **RESPONSIVE:** leverage an asset-based approach to address key issues
- **EQUITABLE:** unite top-down resources with resident expertise
- **ADAPTIVE:** combine spirit of experimentation with processes for learning
- **TRANSFORMATIVE:** focus energy & resources on activities of most impact
- **EMPOWERING:** empower local community through the process

Resilience

Resilience is defined as the capacity for households, communities, and regions to adapt to changing conditions and to maintain and regain functionality and vitality in the face of stress or disturbance.

It is the capacity of a system, be it an individual or a community, to deal with change positively and to use shocks and disturbances to spur renewal and innovative thinking. The goal is to be both strong and flexible – not only to be able to bounce back but to bounce forward. Resilience strategies seek to assess and evaluate the physical and social vulnerabilities and risks in a community, identify ways to reduce or eliminate the risk, and implement programs and projects to adapt and strengthen a community's physical and social characteristics.

Creative Placemaking

Creative placemaking is the intentional integration of the arts, culture, creativity, and design in comprehensive community development. At Enterprise, we believe that creative placemaking strategies that emphasize cultural expression and broad participation can enhance the social fabric and physical character of communities.

Equity

Just and fair inclusion into a society in which all can participate, prosper, and reach their full potential. Unlocking the promise of the nation by unleashing the promise in us all.

Example: residents of Anytown, USA, live in quality housing that is affordable to them and located in a safe neighborhood with nearby public K-12 schools, numerous transit routes/stops and business centers that offer employment opportunities.

Racial Equity

A condition where race cannot be used to predict success, and we have successful systems and structures that work for all. Example: Race can no longer be used to predict life outcomes, such as the likelihood of graduating college or becoming incarcerated.

Suggested Reading
[What is Resilience?](#)
Stockholm Resilience Centre

Suggested Reading
[How to Do Creative Placemaking](#)
National Endowment for the Arts

Source
PolicyLink
<http://www.policylink.org/about/equity-manifesto>

Source
Government Alliance on Race and Equity
<http://www.racialequityalliance.org/resources/equitable-development-tool-advance-racial-equity/>

APPENDIX

APPENDIX A: ELIGIBLE ORGANIZATIONAL TYPES

APPENDIX B: DEFINITION OF GEOGRAPHIC AREA

APPENDIX C: ELIGIBLE EXPENSES

APPENDIX D: QUESTIONNAIRE FOR SUB-RECIPIENTS OF FEDERAL FUNDING

APPENDIX A: ELIGIBLE ORGANIZATIONAL TYPES

Section 4 Capacity Building grant funds are limited to community development corporations (CDCs), certified community housing development organizations (CHDOs) and organizations serving Native American populations with a defined mission that includes affordable housing.

A CDC is defined as a nonprofit organization that has the following characteristics:

- Is organized under federal, state or local law to engage in community development activities (which may include housing and economic development activities) primarily within an identified geographic area of operation;
- Is governed by a board of directors composed of community residents, business and civic leaders – this includes faith based community development corporations;
- It has as its primary purpose the improvement of the physical, economic or social environment of its geographic area of operation by addressing one or more critical problems of the area, with particular attention to the needs of persons of low income;
- Is neither controlled by, nor under the direction of, individuals or entities seeking to derive profit or gain from the organization;
- Has a tax exemption ruling from the Internal Revenue Service under section 501(c)(3) or 501(c)(4) of the Internal Revenue Code of 1986 (26 CFR 1.501(c)(3)-1);
- Has standards of financial accountability that conform to 24 CFR (Code of Federal Regulation) 84.21, Standards for Financial Management Systems;
- Is not an agency or instrumentality of a state or local government;
- For urban areas, "community" may be a neighborhood or neighborhoods, city, county or metropolitan area; for rural areas, it may be a neighborhood or neighborhoods, town, village, county or multi-county area (but not the entire state).

A CDC that does not qualify under Section (a) may also be determined to qualify as an eligible entity if:

- It is an entity organized pursuant to section 301(d) of the Small Business Investment Act of 1958 (15 U.S.C. 681(d)), including those which are profit making; or
- It is a Small Business Administration (SBA) approved Section 501 State Development Company or Section 502 Local Development Company or a SBA Certified Section 503 Company under the Small Business Investment Act of 1958, as amended: or
- The recipient demonstrates to the satisfaction of HUD, through the provision of information regarding the organization's charter and by-laws, that the organization is sufficiently similar in purpose, function and scope to those entities qualifying under Section (a).
- Is a State or locally chartered organization; however, the State or local government may not have the right to appoint more than one-third of the membership of the organization's governing body and no more than one-third of the board member may be public officials or employees of the State or local government entity chartering the organization. Board members appointed by the State or local government may not appoint the remaining two-thirds of the board members.

CHDO designation is granted by participating jurisdictions (PJs) in relation to the HOME Program requirements and not by Enterprise. Additional information about CHDOs and obtaining CHDO status can be found at <https://www.hudexchange.info/home/topics/chdo/>

Organizations serving Native American populations with a defined mission that includes affordable housing must be one of the following:

- 501 (c) 3 Nonprofit Tribal Organizations
- Tribally Designated Housing Entities (TDHE)
- Tribal Housing Authority
- Federally- recognized Tribes

APPENDIX B: DEFINITION OF GEOGRAPHIC AREA

California – Northern	San Francisco Bay metro area, including the counties of Alameda, Contra Costa, Marin, San Francisco, San Mateo and Santa Clara; and City and County of Sacramento
California – Southern	Los Angeles, Orange, San Bernardino, Riverside, Ventura, Santa Barbara, San Luis Obispo, Kern, Imperial, Tulare and San Diego counties
Colorado	Metro Denver, including Adams, Arapahoe, Boulder, Broomfield, Denver, Douglas and Jefferson Counties
Gulf Coast	Alabama: Mobile County Louisiana: Entire state Mississippi: Entire State
Massachusetts	Greater Boston area including Suffolk, Norfolk, Middlesex, Essex counties
Michigan	Metro Detroit: the tri-county area including Wayne, Oakland and Macomb Counties. Priority geographies include Northwest Detroit, Jefferson Chalmers, Downtown and Midtown
Mid-Atlantic	District of Columbia: Entire district Maryland: Entire State Virginia: Counties of Alexandria and Falls Church, and the counties of Arlington, Loudon, Prince William and Fairfax Counties in Northern Virginia
Midwest	Chicago, IL-IN-WI Metropolitan Statistical Area (MSA). 14 counties including: Illinois: Cook, DeKalb, Dupage, Kane, Kendall, Grundy, Lake, McHenry, Will Indiana: Jasper, Lake, Newton, and Porter counties. Wisconsin: Kenosha State of Illinois (including all remaining counties outside the Chicago MSA) Minneapolis-St. Paul, MN-WI MSA. 16 counties including: Minnesota: Anoka, Carver, Chisago, Dakota, Hennepin, Isanti, Le Sueur, Mille Lacs, Ramsey, Scott, Sherburne, Sibley, Washington, and Wright Counties Wisconsin – Pierce, and St. Croix counties
New York	New York City
Ohio	Cuyahoga and Franklin counties
Pacific Northwest	Oregon: Portland Metro Washington: Puget Sound area and I-5 corridor. Target areas include Seattle’s Central Area Crescent, the Rainier Valley, Beacon Hill, and downtown Seattle, as well as publicly owned sites that are transit-oriented or highly walkable throughout the metropolitan area
Southeast	Alabama: Birmingham Florida: Entire state Georgia: Entire state North Carolina: Entire state Tennessee: Chattanooga, Nashville and Memphis
Rural	Areas served must meet the definition of rural as applicable to the Section 4 program. Under the Section 4 program, a rural area is a statistical geographic entity delineated by the Census Bureau that does not meet the definition of an urbanized area contained in the Office of Management and Budget’s 2010 Standards for Delineating Metropolitan and Micropolitan Statistical Areas, 75 FR 37252 (June 28, 2010). That is, a rural area is an area that is NOT a statistical geographic entity delineated by the Census Bureau, which would consist of densely settled census tracts and blocks and adjacent densely settled territory that together contain at least 50,000 people. <i>To determine if the area where grant activities will take place qualifies as rural, enter the zip code or city here to confirm eligibility. Areas shaded pink are not eligible.</i>

APPENDIX C: ELIGIBLE EXPENSES

Funds for this grant program are provided by both public and private sources. Below are instructions on completing the budget and additional information about eligible expenses and requirements to receive federal funds.

Project Budget

A Project Budget must be submitted using the Excel template provided. We ask that all grantees propose a budget that is equally split between public/private. The budget has two columns for the two sources. Each column should total \$50,000.

Enter in the proposed costs to be supported under the grant:

- *Salaries*: enter the position of each staff member, percent of time billed and the total amount requested for each (i.e. Executive Director, 10% of time over proposed grant budget, \$30,000).
- *Fringe*: enter the amount of fringe benefits (either based on % of salaries or actual costs).
- *Consultants*: enter in the type of consultant and the amount requested for each (i.e. Community Artist, \$20,000)
- *Other Direct Costs*: list a brief explanation and enter amount requested for each (i.e. event supplies \$10,000)
- *Indirect Costs*: enter the approved indirect rate % AND provide a copy of the organizations Negotiated Indirect Cost Rate Agreement.

Examples of Eligible Activities and Allowable Costs

Common examples (but not an exhaustive list) of capacity-building activities that can be funded include the following costs.

- *Staff Salaries*: for existing staff members or new staff members, which can include fringe benefits.
- *Consultants**: for capacity-building activities that fall within the program areas of the RFP. Organizational/financial assessments are some examples of eligible consultant activities. However, consultants shall be chosen through full and open competition and must possess the ability to perform successfully under the terms and conditions of the proposed activity with price and other facts considered. Consultant pricing shall be fair, reasonable and comparable to pricing of other entities providing similar services. Additional guidance on consultants is below.
- *Staff or Board Training*: topics can include housing development, financial management, economic development, asset management, board development or technology delivered through seminars/workshops or by a consultant.
- *Computer Software/Hardware*: or other essential technical equipment.
- *Other Professional Services*: as required for project/portfolio or financial planning.

**Please make sure that your sub-grantees or contractors that receive federal funds are aware that they must have a DUNS number and be registered in the SAM system in order to be in compliance with federal reporting requirements.*

The following costs are not allowable under this grant:

- Dues for lobbying activities
- Bad debts
- Contributions and donations
- Costs of idle facilities
- Fines, penalties and judgments
- Housing & personal living expenses
- Contingency reserves
- Interest and other financing costs
- Investment costs
- Alcoholic beverages

Additionally, Public funds may not be used for the following costs:

- Ongoing business expenses or organization costs
- Direct and indirect construction costs
- Expenses for new lines of business or start-up costs, including staff and consultant fees related to these efforts
- Fundraising activities
- Entertainment costs, including amusement, diversion, social activities
- Giveaways/prizes, incentives, stipends
- Capital expenditures or land acquisition
- Other costs pursuant to program or regulatory requirements

Cost Reimbursement: Grants are awarded on a cost reimbursement basis; grant disbursements occur after expenses have been incurred. Each disbursement request should include support documentation of expenses and an activity report on grant work to date.

Construction: Enterprise generally does not fund construction costs (i.e., construction of new buildings, major renovations or additions to existing buildings). Recipients are required to obtain authorization from Enterprise before incurring any construction costs. Use of grant funds must comply with HUD's environmental regulations in 24 CFR Part 50. Project must have approval from the local HUD field office to use funds for direct or indirect construction costs or other costs as required by 24 CFR Part 50. Other regulations may also apply for construction-related activities.

APPENDIX C, cont.

Match Documentation: The public funds for this program require Enterprise to raise match from private sources for every dollar of Section 4 funds spent. Enterprise in turn is requesting that applicants demonstrate their ability to provide matching dollars when submitting full proposals. All match must be received prior to issuing the final disbursement and closing out a grant agreement. Match reflects private-sector dollars received by the organization that supports the same project or program being funded with this grant. Eligible private-sector funds include donations from individuals, foundation and corporate grants or tenant portion of rents collected, as they relate to the grantee's work plan. It is important to note that loans, equity investments or developer fees associated with projects that are directly funded by Enterprise, LISC/NEF or Habitat for Humanity, including syndication of tax credits or loans, cannot count as match. However, loans, equity or developer fees may be used from projects that are not directly-financed by Enterprise, LISC/NEF or Habitat for Humanity provided they support the same project or program being funded with this grant.

Consultant Guidance

- **Selection:** It is our expectation that consultants will be selected via an open, competitive process. We understand that in very rare circumstances an RFP may not be feasible and in those situations, consultants may be selected in a non-competitive sole source process. In those instances, the grantee is obligated to document their reasoning for not issuing an RFP and explain why the selected consultant was the best suited for this work.
- **Narrative and Budget:** Organizations proposing to hire a consultant with a portion of their Section 4 grant must ensure that their proposal provides specific details about the activities the consultant will conduct and why their consultant services are vital to the program's success. Also, the program budget submitted must clearly show the amount of labor and expenses the consultant is expected to accrue. Additionally, Enterprise is required to ensure expenses paid utilizing HUD's funds are not only fair and reasonable but also eligible expenses per federal regulations. Thus, Enterprise requires a breakdown of all proposed labor amounts to include direct (actual) hourly rates and indirect costs (if applicable). Consultants must charge rates that are consistent with rates charged on their other contracts/agreements. If a consultant proposes to include indirect costs (IDC), the proposal must be accompanied by an Indirect Cost Rate Agreement approved by a federal government agency or may include a de minimis indirect cost rate of 10% of Modified Total Direct Costs (MTDC). MTDC means all salaries and wages, applicable fringe benefits, materials and supplies, services, travel and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the Subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward or subcontract in excess of \$25,000.
- **Guidance on Labor Rate breakdown for Consultants:** A large organization or an organization that receives large amounts of federal funds will generally have a federal government approved negotiated IDC rate agreement from one federal agency (usually the federal agency or department from which the organization receives the most funding - its cognizant federal agency). This will be accepted by all federal agencies and by organizations like Enterprise that pass through federal funds. Smaller organizations or individual consultants may not have an approved indirect cost rate may elect to charge a de minimis rate of 10% of modified total direct costs.

Additional Requirements to Receive Federal Funding

- **DUNS Number:** All organizations receiving federal funds are required to obtain a Dun & Bradstreet (DUNS) number (including subcontractors and consultants of grantees). Proposals without a DUNS number will not be considered for funding. The DUNS is a unique nine-character number that identifies an organization. A DUNS number can be obtained free of charge by applying online at <http://fedgov.dnb.com/webform> or by phone at 1-866-705-5711 from Monday - Friday 7 AM to 8 PM C.S.T.
- **Registration in System for Award Management (SAM):** Grantees and all subcontractors and consultants engaged by grantees through this grant must be registered in the System for Award Management (SAM) and not have an active exclusion. The System for Award Management (SAM) is a free web site hosted by the federal government that consolidates the government-wide award reporting systems into one new system. SAM streamlines processes, eliminating the need to enter the same data multiple times and consolidates hosting to make the process of doing business with the government more efficient. The website is found at www.sam.gov. Information on registering can be found here: https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations_v1.7.pdf
- **Federal Funding Accountability and Transparency Act (FFATA):** Grantees must comply (as applicable) with FFATA and provide necessary information to enable Enterprise to comply with FFATA reporting requirements. Visit <http://www.fdrs.gov> for more information.

APPENDIX D: QUESTIONNAIRE FOR SUB-RECIPIENTS OF FEDERAL FUNDING

Enterprise, as a recipient of federal funding, must review and evaluate the risk associated with potential grantees prior to making awards. As such, **after an initial round of review, some applicants will be required to complete Enterprise's Questionnaire for Sub-Recipients of Federal Funding and provide the required supporting documentation** related to their organization's policies and procedures. This request is based on federal requirements contained in 2 CFR 200 which requires Enterprise to review and evaluate the risk associated with potential grantees prior to making awards. Information required in the questionnaire is provided below for your reference.

- Applicants that have never received grant funding from Enterprise will complete the Standard Questionnaire
- Applicants that responded to Enterprise's 2016 RFP funding opportunity and completed the Questionnaire will be required to complete the Questionnaire for Sub-Recipients of Federal Funding (Previous Applicants).
- Applicants that have open grant awards with Enterprise must submit all outstanding documentation related to the Questionnaire before an additional grant award will be issued.

Standard Questionnaire for Sub-Recipients of Federal Funding

[FOR REFERENCE. DO NOT COMPLETE UNTIL REQUESTED]

General Information about your Organization (Y/N)

1. Is your organization newly-formed (within the past two years)?
2. Have you had substantial staff turnover or a significant internal reorganization within the past year? If YES, please explain.
3. Have you installed new financial software or systems within the past two years? If YES, please indicate what financial systems you installed.

Previous Federal Funding (Y/N)

1. Have you received funding from the Section 4 program before? If YES, when?
2. Within the past two years, have you received any federal funding directly from a Federal agency? Or have you received funding from a state or local government? If YES, please explain:
3. Has a pass-through entity (Enterprise or another organization) notified you that you had any compliance problems? If YES, please explain.

Policies and Procedures (Y/N)

1. Do you have written financial management and accounting procedures? If YES, do they cover all accounting functions? (i.e., Accounts Payable, Billing and Accounts Receivable, Payroll, General Ledger, Signing/Approval Authority, Cost Allocation Plan). Please submit a copy of the procedures or a write-up that covers these functions.
2. Do you have written procurement and contracting policies?
3. Do you have written personnel policies and procedures?
4. Do you have measures in place to safeguard private or confidential information (e.g., Social Security numbers, health information, financial data)? Please provide copies of the procedures or documentation in 2., 3. and 4. above.

Internal Controls (Y/N)

1. Salaries and Wages
 - a. Do you use signed timesheets or personnel activity reports to support charges for all hours worked? If YES, please provide a copy.
 - b. Are they signed by the employee? Are they signed by the supervisor?
 - c. Do the timesheets or activity reports allocate an employee's time based on source of funding?
 - d. Can the hours charged be traced to payroll registers, issued and cancelled payroll checks/direct deposits and bank statements?

2. Fringe Benefits

- a. Do you use a percentage rate to charge fringe benefits to projects or funding sources? If YES, is the rate applied to salaries and wages? If YES, does the rate include all fringe benefit costs consistent with established benefit programs? If NO, how do you calculate fringe benefits applied to projects/funding sources?

3. Consultants and Contractors

- a. Do you support expenses for professional, consulting and contracted services with executed contractual agreements? If YES, please provide a copy of a consultant or contractor agreement.
- b. Do you only pay consultants and contractors based on approved invoices, receipts or agreements?
- c. Can payments be traced to payment registers and disbursement/credit card statements?
- d. Do you document specific allocation/coding to a funding source?

APPENDIX D, cont.

4. Travel

- a. Do you use an expense report or other method of itemized invoices and receipts or travel authorization forms to support travel expenses? If YES, provide a copy of an expense report.
- b. Do the supporting documents include the purpose for travel in writing?
- c. Can payments be traced to payment registers and disbursement/credit card statements?
- d. Do you document a specific allocation/coding to a funding source?

5. Training and Professional Development

- a. Do you have written policies for training and professional development? If YES, provide a copy.
- b. Do you pay for training and professional development based on invoices or receipts?
- c. Can payments be traced to payment registers and disbursement/credit card statements?
- d. Do you document specific allocation/coding to a funding source?

6. Other Direct Costs

Do you maintain documentation for the following types of expenses?

- a. Reproduction
- b. Supplies and Materials
- c. Occupancy and Space
- d. Office Equipment
- e. Communication and Postage
- f. Other Expenses

7. Indirect Cost Rates

- a. Do you have a Federally Approved Indirect Cost Rate Letter? If YES, provide a copy. If NO, you may elect to charge a flat rate of 10% of modified total direct costs.

Financial Statements and Single Audit Reports

Please send an electronic copy of the organization's most recent financial statements and Single Audit (if required). A Single Audit is only applicable to an applicant organization that has expended over \$750,000 of Federal Funds during its previous or current fiscal year.

Date of Financial Statements (mm/dd/yyyy):

1. Were the financial statements audited? If YES, were there any audit findings? If there were audit findings, was a corrective action plan developed? Send a copy.
2. Was the organization required to have a Single Audit? If YES, provide a copy of your Single Audit Report. Based on the Single Audit Report:
 - (a) Were any material weaknesses identified?
 - (b) Were any reportable conditions identified?
 - (c) Were any instances of non-compliance disclosed?
 - (d) Were any questioned costs identified?

If you did NOT have a Single Audit, provide documentation of previous year's Federal Expenditures.

3. If any responses to (a), (b), (c) or (d) are YES, has the organization developed a corrective action plan for the Single Audit? Send an electronic copy of the plan.

Documents or other materials that a sub recipient should submit with the Questionnaire for Sub-recipients of Federal Funding

- Financial management and accounting procedures (or a write-up covering the major functions)
- Procurement and contracting policies and procedures
- Personnel policies and procedures
- Procedures to safeguard confidential information
- Copy of a timesheet or personnel activity report
- Copy of a consultant or contractor agreement
- Copy of an expense report
- Training and professional development procedures
- Copy of federally approved indirect cost rate letter
- Copy of most recent audited financial statements
- Copy of sub recipient's corrective action plan for audit findings (if required)
- Copy of most recent Single Audit (if required)
- Copy of previous year's Federal Expenditures (if Single Audit is not required)
- Copy of sub recipient's corrective action plan for Single Audit (if required)

APPENDIX D, cont.

Questionnaire for Sub-Recipients of Federal Funding (Previous Applicants)

[FOR REFERENCE. DO NOT COMPLETE UNTIL REQUESTED]

If your organization responded to a questionnaire from Enterprise last year when you applied for Section 4 Capacity Building funds, Enterprise would like to know if there have been any substantial changes in your organization in the past year that might affect your ability to effectively spend and document the use of federal funds.

Follow up information about your Organization (Y/N)

1. Have you had substantial staff turnover or a significant internal reorganization within the past year? If YES, please explain
2. Have you installed new financial software or systems within the past year? If YES, please indicate what financial systems you installed:
3. Have you developed any new financial or operational manuals or procedures? If YES, please submit a copy of the manuals or procedures.
4. Are you currently using the timesheets or personnel activity reports that you submitted to Enterprise last year? If NO, please provide a copy of the new timesheets that you are using. Indicate how the timesheets allocate an employee's time based on source of funding and where the timesheets are signed by the employee and the supervisor.

Financial Statements and Single Audit Reports

Please send an electronic copy of the organization's most recent financial statements and Single Audit (if required). A Single Audit is only applicable to an applicant organization that has expended over \$750,000 of Federal Funds during its previous or current fiscal year.