



June 2024

Appalachian Regional Commission Access to Capital Post Award Compliance

Housekeeping

Yes, you will get a recording of the webinar.

Yes, you will get a copy of the slides so that you have the links referenced.

Type questions in the Chat. Staff will answer as we go or address your questions at the end.

All forms referenced in this presentation will be sent to you in a follow up email.

Presentation Goals

1. Reporting Timelines
2. Required Forms
3. ARCnet for Information
4. 7-Year closeouts process and requirements (If we have time)

Setting the Stage – Who is here

- **Received dollars from ARC in the past five years**
- **Have open 20+ year old grants**
- **Potential grantees (e.g., applicants)**

Add your name, organization and which category you fall into in the Chat

Reporting Timelines

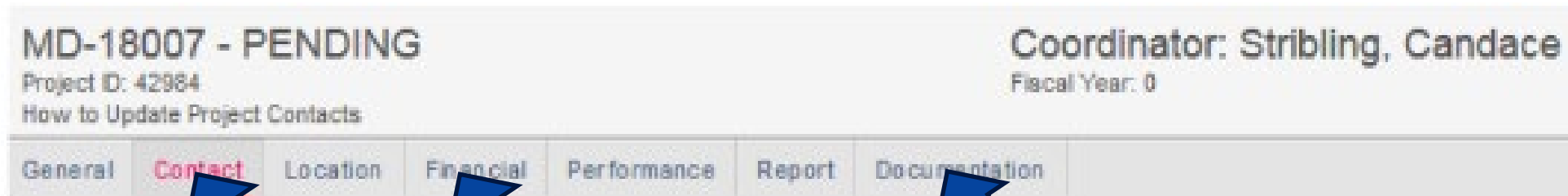
Report Type	When to Use This Report	Forms	Frequency	Due Dates
Interim Reports	Grantee still has funds at ARC	SF270 Advance Worksheet SF-PPR Performance Cover Sheet Narrative Excel Sheet	Every 4 months	30 Days after reporting period
Final Payment Request	Final Interim Report	SF270 Advance Worksheet SF-PPR Performance Cover Sheet Narrative Excel Sheet	Final Payment Request Submission	30 days after reporting period
Annual Reports	All funds have been drawn from ARC	SF-PPR Performance Cover Sheet Narrative Excel Sheet	Annually	90-days after the end of the calendar year
Final Report	7-Year Closeout	SF270 Advance Worksheet SF-PPR Performance Cover Sheet Narrative Excel Sheet	Final Report	

Update Information in ARCnet

- Login to [ARCnet](#).
- 1-3 people within an organization typically have/need access.
- Go to the Contacts Tab and update the contacts listed. It is critical to have an authorized rep and a primary contact.
- If you cannot get into ARCnet, reach out to your ARC coordinator.
- [Link](#) to document on how to change contact information

Use ARCnet to gather information for reporting

- Documentation Tab
 - Some past reports
 - Original and amended grant agreements
 - Some documentation for closeout materials, if applicable
- Financial Tab
 - Payment history
 - Match



The screenshot displays the ARCnet interface for a project. At the top left, it shows "MD-18007 - PENDING" and "Project ID: 42984". Below this is a link "How to Update Project Contacts". On the top right, it identifies the "Coordinator: Stribling, Candace" and "Fiscal Year: 0". A horizontal navigation bar contains several tabs: "General", "Contact", "Location", "Financial", "Performance", "Report", and "Documentation". The "Contact" tab is highlighted in red. Three blue arrows point from the bottom of the slide to the "Contact", "Financial", and "Documentation" tabs.

How to Submit Access to Capital Reports

- Break into two PDF files
 - Finance forms (SF270 + Advance Worksheet)
 - Narrative forms (SF-PPR + Narrative Excel Sheet)
- Email report to your grant coordinator:
 - Jenny Neely – jneely@arc.gov
 - Christy Johnson – cjohnson@arc.gov
 - Jen Simon – jsimon@arc.gov

Interim Reporting

When to Use This Report	Forms	Frequency	Due Dates
Grantee still has funds at ARC	Advance Worksheet SF270 SF-PPR Performance Cover Sheet Narrative Excel Sheet	Every 4 months	30 Days after reporting period

Interim Report

- Do not use the electronic system for Access to Capital report submissions
- Do not send your loan approval documentation
- List reporting period dates on all documentation (e.g., April 1, 2024 – July 31, 2024)
- Always include your project number (e.g., AL-12117, PW-12345-IM) in any communication with staff and on your report
- Reports must be submitted regardless of whether the grantee is asking for a payment.

Interim Report: Advance Worksheet Instructions

- Start with the Advance Worksheet as it informs the SF270
- When requesting payment, ensure you provide us with a worksheet on the deals you closed or will be closing (there is space on your narrative report)
- Don't forget most information can be found in ARCnet.

ARC (Federal) Share			Matching (Non-Federal) Funds			Total Program Outlays			
Budget Category	Project Budget ¹	YTD Expenditures ²	Forecast Period ³	Project Budget ¹	YTD Expenditures ²	Forecast Period ³	Project Budget ¹	YTD Expenditures ²	Forecast Period ³
Personnel									
Benefits									
Travel									
Equipment									
Supplies									
Contractual									
Other	ARC portion	ARC \$\$ spent	Request Amount	Committed Match	Match Spent	Match Spent Current Period	Columns D+G	Columns E and H	Columns F and I
Total Direct	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Indirect costs									
TOTAL									

Interim Report: SF270

- Use the Advance Worksheet to fill this in
- Required form
- Send this even if not asking for payments
- Make sure it is certified by your Authorized Representative

REQUEST FOR ADVANCE OR REIMBURSEMENT		OMB APPROVAL NO. 0348-0004		PAGE _____ OF _____ PAGES	
		1. TYPE OF PAYMENT REQUESTED a. "X" one or both boxes <input checked="" type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT b. "X" the applicable box <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL		2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> Accrual	
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED Appalachian Regional Commission			4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY 23.001		5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST
6. EMPLOYER IDENTIFICATION NUMBER Insert EIN		7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER Leave Blank		8. PERIOD COVERED BY THIS REQUEST FROM month, day, year TO month, day, year Start of the Grant End of Report Period	
9. RECIPIENT ORGANIZATION Name: Number and Street: City, State and ZIP Code:			10. PAYEE (Where check is to be sent if different than 9) Name: Number and Street: City, State and ZIP Code:		
11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/A					
PROGRAMS/FUNCTIONS/ACTIVITIES		a) Only Use This Column	b) Leave Blank		
a. Total program outlays to date As of date		Column K			
b. Less: Cumulative program income		Leave Blank			
c. Net program outlays Line a minus line b)		Same as 11 a			
d. Estimated net cash outlays for advance period		Column L			
e. Total Sum of lines c & d)		Columns K + L			
f. Non-Federal share of amount on line e		Columns H + I			
g. Federal share of amount on line e		Columns E + F			0.00
h. Federal payments previously requested		Column B			0.00
i. Federal share now requested Line g minus line h)		Column F			0.00
j. Advances required by Federal grantor agency for us in making prescheduled advances		Leave Blank			0.00
1st month		Leave Blank			0.00
2nd month		Leave Blank			0.00
3rd month		Leave Blank			0.00
12. ALTERNATE COMPUTATION FOR ADVANCES ONLY					
a. Estimated Federal cash outlays that will be made during period covered by the advance					Leave Blank
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period					
c. Amount requested Line a minus line b)					0.00

13. CERTIFICATION		
I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OR AUTHORIZED CERTIFYING OFFICIAL Authorized Rep Must Sign	DATE REQUEST SUBMITTED
	TYPED OR PRINTED NAME AND TITLE Print AR's Name and Title	TELEPHONE (AREA CODE, NUMBER, EXTENSION) AR's Phone
This space for agency use		

Performance Progress Report Form

Add to the front of
the Interim Report
Narrative

PERFORMANCE PROGRESS REPORT SF-PPR

		Page	of
			Pages
1. Federal Agency and Organization Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency	
		3a. DUNS Number	
		3b. EIN	
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Identifying Number or Account Number	
6. Project/Grant Period		7. Reporting Period End Date	
Start Date: (Month, Day, Year)	End Date: (Month, Day, Year)	(Month, Day, Year)	
		8. Final Report? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		9. Report Frequency	
		<input type="checkbox"/> annual <input type="checkbox"/> semi-annual	
		<input type="checkbox"/> quarterly <input type="checkbox"/> other	
		(if other, describe: _____)	
10. Performance Narrative (attach performance narrative as instructed by the awarding Federal Agency)			

Interim Report: Narrative

- All instructions are on the second tab

ARC ATC Interim Report (Please see the instructions on the next tab)

ARC Grant Number:	
Grantee:	
Name of Project:	
Project Director*:	
Reporting Period End Date:	

* Please review and update all contact information in ARCnet. If you do not have access to your grant in ARCnet, then please email your coordinator

Brief Paragraph on the original purpose of the grant

Current

Balance of invested/lent funds	\$0.00
Balance of Private Capital Raise (POWER grants only)	\$0.00
Number of open investments/loans	0
Funds available for investing/loans	\$0.00
Default percentage	0%
Past due percentage	0%

Since Last Report Period

Jobs created	0
Jobs retained	0
Number of loans disbursed/investments made	0
Amount of loans disbursed/investments made	\$0.00
Leveraged private investment	\$0.00

Cumulative measures since inception

Jobs Created	0.00
Jobs Retained	0.00
Number of loans disbursed/investments made	0.00
Total amount of loans/investments	\$0.00
Leveraged private investment	\$0.00

Problems encountered (e.g., slow deal flow attributable to high interest rates, etc.)

Loans that will close soon, applications in the grantee's pipeline, or a combination of both.

Final Payment Request – aka Final Interim Report

Report Type	When to Use This Report	Forms	Frequency	Due Dates
Final Payment Request	Final Interim Report – Asking for remaining dollars	<ul style="list-style-type: none">• SF270• Advance Worksheet• SF-PPR Performance Cover Sheet• Narrative Excel Sheet	Final Payment Request Submission	30 days after final reporting period

You will use the same exact forms as the Interim Report.

Annual Report

When to Use This Report	Forms	Frequency	Due Dates
All funds have been drawn from ARC	<ul style="list-style-type: none">SF-PPR Performance Cover SheetNarrative Excel Sheet	Annually	90-days after the end of the calendar year

Annual Report: Do not provide any financial statements

Annual Report Narrative

- Include [Performance Progress Report Form](#) (cover)
- Follow Instructions on second tab

ARC ATC Annual Report (Please see the instructions on the next tab)			
ARC Grant Number(s):			
Grantee:			
Name of Project:			
Project Director*:			
Reporting Period End Date:			
* Please review and update all contact information in ARCnet. If you do not have access to your grant in ARCnet, then please email your coordinator			
Brief Paragraph on the original purpose of the grant			

PERFORMANCE PROGRESS REPORT SF-PPR			
1. Federal Agency and Organization Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency	
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Identifying Number or Account Number	
6. Project/Grant Period Start Date: (Month, Day, Year) End Date: (Month, Day, Year)		7. Reporting Period End Date (Month, Day, Year)	
		8. Final Report? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		9. Report Frequency <input type="checkbox"/> annual <input type="checkbox"/> semi-annual <input type="checkbox"/> quarterly <input type="checkbox"/> other (If other, describe: _____)	
10. Performance Narrative (attach performance narrative as instructed by the awarding Federal Agency)			

7-Year Closeout/Release from Reporting

- Grantee no longer submits annual reports to ARC
- Federal reversionary interest continues to apply
- Program income shall remain in the project for lending and administrative costs
- The project shall continue to be subject to ARC, Office of Inspector General (OIG), and single audits (if applicable—see 2 CFR Part 200, Subpart F)

7-Year Closeout/Release from Reporting

- The grantee will submit and must receive ARC approval of any future revisions of the operating plan
- The grantee will continue compliance with all applicable federal laws, regulations, and ARC requirements.

Eligibility for Release from Reporting

- Consistently provided loans or investments to borrowers
- Seven or more years have passed since last grant disbursement
- Submitted timely and accurate reports to ARC
- Agreed to continue to operate as an RLF or investment fund
- Follows terms outlined in previous slide

Required Documentation

- Updated ARC-approved operating plan
- Request in writing and signed and submitted by CEO and a dated resolution from board should include current cash on hand and outstanding loan principal
- Final Closeout Report
- Final Narrative Report
- ARC coordinator will document state's concurrence

Final Financial Closeout Report

- Advance worksheet reflects inception-to-date
- SF-270 Form reflects inception-to-date

Final Narrative Closeout Report

- Performance Progress Report (Cover)
- Narrative Spreadsheet

PERFORMANCE PROGRESS REPORT SF-PPR			
		Page	of Pages
1. Federal Agency and Organization Element to Which Report is Submitted		3a. DUNS Number	
2. Federal Grant or Other Identifying Number Assigned by Federal Agency		3b. EIN	
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Identifying Number or Account Number	
6. Project/Grant Period Start Date: (Month, Day, Year) End Date: (Month, Day, Year)		7. Reporting Period End Date (Month, Day, Year)	
		8. Final Report? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		9. Report Frequency <input type="checkbox"/> annual <input type="checkbox"/> semi-annual <input type="checkbox"/> quarterly <input type="checkbox"/> other (If other, describe: _____)	
10. Performance Narrative (attach performance narrative as instructed by the awarding Federal Agency)			

ARC ATC Final Closeout Report (Please see the instructions on the next tab)

General Information	
ARC Grant Number:	
Grantee:	
Name of Project:	
Reporting Period End Date:	
Brief Paragraph on the original purpose of the grant	
Cumulative since inception	
Balance of invested/lent funds	\$0.00
Balance of Private Capital Raise (POWER grants only)	\$0.00
Number of open investments/loans	0
Funds available for investing/loans	\$0.00
Loan loss percentage	0%
Past due percentage	0%
Jobs Created	0.00
Jobs Retained	0.00
Number of loans disbursed/investments made	0.00
Amount of loans/investments	\$0.00
Leveraged private investment	\$0.00
Program Income	\$0.00
Lessons Learned	

Process

- Grantee submits all documentation triggering ARC review
- ARC Coordinator will review and make a recommendation based on programmatic and reporting performance
- Following the state's concurrence, the Federal Co-Chair may approve the grantee's request. If Co-Chair approves, then General Counsel sends closeout agreement

Process Continued

- Grantee signs and returns the closeout agreement
- Grant is administratively closed
- The grant coordinator will send the grantee a reminder on December 15th each year to send an annual statement to ARC on January 15th confirming that the grantee will continue to operate as an RLF or investment fund.

Questions