Indiana Economic Development Corporation (IEDC) – READI Project Pre-Submission Checklist

**READI Project Pre-Submission Checklist**

The checklist below outlines the information that should be prepared and communicated to the IEDC for the evaluation and submission of individual projects. This request for information document is designed to be comprehensive but there are situations or questions that could results in additional information requests or follow-up questions during the evaluation process.

Project summary-relevant facts of the project (Example: Summary from Initial regional plan submission)

Timeline

Proforma financial information

* Program - Detail itemized budget with sources and uses including considerations related to sustainability of the program following the funding period
* Construction - sources and uses

Leveraging/Matching Funds

* Amounts and identification of any federal funding source (if applicable)
* Status - Secured or pending

Total READI funding requested

Evidence-based interventions – Various expenditure categories require programmatic measurements

(evidence-based interventions). To the extent identified, please summarize your initial approach

* Expenditure categories that include requirements for programmatic measurements include: Public Health (EC1), Negative Economic Impacts (EC2) or Services to Disproportionately Impacted Communities (EC3)
* IEDC and EY will work with the regions to further define these metrics as the programs and projects are developed, as needed

Key performance indicators / measures for tracking

* Outcomes
* Outputs

Project Points of Contact / Project/Program Coordinator   
 Procurement status

* Construction (if applicable)
* Copies of all applicable procurement documents if completed or underway

**READI Project Background Data**

**Region**

1. Please select your IEDC Region (check one)

|  |  |
| --- | --- |
| 180 Alliance | 70-40 Mt Comfort Corridor |
| East Central | Greater Lafayette |
| I-74 Southeast Corridor | Indiana First |
| Indiana Uplands | North Central |
| Northeast | Northwest |
| Our Southern Indiana | South Bend Elkhart |
| South Central | Southeast |
| Southwest | Wabash River |
| White River |  |

1. Regional Contact

|  |  |
| --- | --- |
| Name: | Click or tap here to enter text. |
| Email: | Click or tap here to enter text. |
| Phone Number: | Click or tap here to enter text. |

1. Regional Details

Name and physical address of the Recipient organization

|  |
| --- |
| Click or tap here to enter text. |

|  |  |
| --- | --- |
| Dun & Bradstreet D-U-N-S Number (DUNS): | Click or tap here to enter text. |
| Taxpayer Identification Number (TIN): | Click or tap here to enter text. |
| Federal Employment Identification Number (FEIN): | Click or tap here to enter text. |
| Unique Entity Identifier Number (UEI): | Click or tap here to enter text. |

**Project and Internal Controls Checklist**

**Project**

|  |  |
| --- | --- |
| Project Name | Click or tap here to enter text. |
| Enter your Project's Estimated Start date | Click or tap here to enter text. |
| Enter your Project's Estimated End date | Click or tap here to enter text. |
| ARPA Project Dollar Amount | Click or tap here to enter text. |
| Private Investment Dollar Amount | Click or tap here to enter text. |
| Local Public Investment Dollar Amount | Click or tap here to enter text. |
| Federal Public Investment Dollar Amount | Click or tap here to enter text. |
| Other State Public Investment Dollar Amount | Click or tap here to enter text. |

**Internal Control Checklist**

The following checklist is to be used by the Regions as a guide to aid in assessing the required Internal Controls and to establish, maintain, and support a system of internal controls. The checklist will assist in the creation of a control environment that encourages compliance with policies and procedures as documented in Federal Regulations (2 CFR 200). Initial step upon READI award includes reviewing the READI award and agreement documents to ensure the SLFRF regulations are met.

1**.** READI/SLFRF Award, meet with sub-grantee and project manager  
 **A.** Prepare a file for document retention**.** File to include copies of:

|  |  |
| --- | --- |
|  | Internal Controls Policies and Procedures |
|  | Application/funding use request |
|  | Funding approval or notification by IEDC |
|  | READI Grant Agreement |

**B.** Establish a budget control ledger to be utilized for the SLFRF performance period (March 3, 2021 to December 31, 2026). Financial information should include:

|  |  |
| --- | --- |
|  | Authorized ARPA Project Dollar Amount |
|  | Line-item budget for expected Project costs for ARPA Dollars |
|  | Schedule of obligated funds (contracts issued) |
|  | Expenditures for ARPA Dollars |
|  | Receipts for ARPA Dollars |
|  | Unobligated balances |

It should be noted that in accordance with the Coronavirus State and Local Fiscal Recovery Funds Award Terms and Conditions, all Regions must maintain records and financial documents for a minimum of five years after all funds have been expended.

2. Below are the Federal guidelines found under 2 CFR 200:

Under $10,000, are considered **Micro-Purchases**

Between $10,000 and $249,999, are considered **Small Purchases** (price or rate quotations must be obtained from at least three sources and the selection process must be documented in compliance with 2 CFR 200.320(a)).

$250,000 and over are considered **Large Purchases** (Goods or services contracts that exceed $250,000, and all Construction Contracts regardless of the amount. Sealed bidding or competitive proposal process must be conducted in compliance with 2 CFR 200.320(b)(1)).

Non-competitive procurement is allowed when the item is available only from a single source.

**Procurement Procedures**

1. Procurement Procedures – Micro-Purchases (Under $10,000)

Make vendor selection

Verify eligibility to work on federally funded projects in the System for Award Management (www.sam.gov). Print, sign, and date results for file.

Document each purchase (Invoice, PO, and Proof of Payment)

1. Procurement Procedures - Small Purchases ($10,000 to $249,999)

Contact via email, letter, or fax a minimum of three vendors

Document responses

Make vendor selection

Verify eligibility to work on federally funded projects in the System for Award Management (www.sam.gov). Print, sign, and date results for file.

1. Procurement Procedures – Competitive Sealed Bid ($250,000 and higher)

Prepare invitation for bid

Publish invitation for bid (IFB) as required

Include solicitation of minority, women and/or disadvantaged business enterprises

Bids must be opened and read aloud at a public meeting as advertised

Prepare bid tabulation and recommendation

Retain copy of minutes of bid opening, sign in sheet

Recommendation of lowest, responsive, responsible bidder.

Verify eligibility to work on federally funded projects in the System for Award Management (www.sam.gov). Print, sign, and date results for file.

Award contract if all SLFRF requirements are met.

Execute contract with Contractor and obtain information on any subcontractors for verification of eligibility to work on federally funded projects in the System for Award Management (www.sam.gov) as noted above.

**You have reached the end of this checklist. There is an additional section below that will be used to identify the proposed expenditure category and related specific reporting requirements. This section will be completed as part of the monthly meetings with the IEDC and EY.**

**Expenditure Categories**

Select the applicable Expenditure Category, or the ones that you think may apply for your project from the table below. Then complete the relevant information based on your Sub-Category selection:

|  | **Category** | |
| --- | --- | --- |
|  | 1 | Expenditure Category: Public Health |
|  | 1.1 | COVID-19 Vaccination |
|  | 1.2 | COVID-19 Testing |
|  | 1.3 | COVID-19 Contact Tracing |
|  | 1.4 | Prevention in Congregate Settings (Nursing Homes, Prisons/Jails, Dense Work Sites, Schools, etc.) |
|  | 1.5 | Personal Protective Equipment |
|  | 1.6 | Medical Expenses (including Alternative Care Facilities) |
|  | 1.7 | Capital Investments or Physical Plant Changes to Public Facilities that respond to the COVID-19 public health emergency |
|  | 1.8 | Other COVID-19 Public Health Expenses (including Communications, Enforcement, Isolation/Quarantine) |
|  | 1.9 | Payroll Costs for Public Health, Safety, and Other Public Sector Staff Responding to COVID-19 |
|  | 1.10 | Mental Health Services |
|  | 1.11 | Substance Use Services |
|  | 1.12 | Other Public Health Services |
|  | 2 | Expenditure Category: Negative Economic Impacts |
|  | 2.1 | Household Assistance: Food Programs |
|  | 2.2 | Household Assistance: Rent, Mortgage, and Utility Aid |
|  | 2.3 | Household Assistance: Cash Transfers |
|  | 2.4 | Household Assistance: Internet Access Programs |
|  | 2.5 | Household Assistance: Eviction Prevention |
|  | 2.6 | Unemployment Benefits or Cash Assistance to Unemployed Workers |
|  | 2.7 | Job Training Assistance (e.g., Sectoral job-training, Subsidized Employment, Employment Supports or Incentives) |
|  | 2.8 | Contributions to UI Trust Funds\* |
|  | 2.9 | Small Business Economic Assistance (General) |
|  | 2.10 | Aid to nonprofit organizations |
|  | 2.11 | Aid to Tourism, Travel, or Hospitality |
|  | 2.12 | Aid to Other Impacted Industries |
|  | 2.13 | Other Economic Support |
|  | 2.14 | Rehiring Public Sector Staff |
|  | 3 | Expenditure Category: Services to Disproportionately Impacted Communities |
|  | 3.1 | Education Assistance: Early Learning |
|  | 3.2 | Education Assistance: Aid to High-Poverty Districts |
|  | 3.3 | Education Assistance: Academic Services |
|  | 3.4 | Education Assistance: Social, Emotional, and Mental Health Services |
|  | 3.5 | Education Assistance: Other |
|  | 3.6 | Healthy Childhood Environments: Child Care |
|  | 3.7 | Healthy Childhood Environments: Home Visiting |
|  | 3.8 | Healthy Childhood Environments: Services to Foster Youth or Families Involved in Child Welfare System |
|  | 3.9. | Healthy Childhood Environments: Other |
|  | 3.10 | Housing Support: Affordable Housing |
|  | 3.11 | Housing Support: Services for Unhoused persons |
|  | 3.12 | Housing Support: Other Housing Assistance |
|  | 3.13 | Social Determinants of Health: Other |
|  | 3.14 | Social Determinants of Health: Community Health Workers or Benefits Navigators |
|  | 3.15 | Social Determinants of Health: Lead Remediation |
|  | 3.16 | Social Determinants of Health: Community Violence Interventions |
|  | 4 | Expenditure Category: Premium Pay |
|  | 4.1 | Public Sector Employees |
|  | 4.2 | Private Sector: Grants to other employers |
|  | 5 | Expenditure Category: Infrastructure |
|  | 5.1 | Clean Water: Centralized wastewater treatment |
|  | 5.2 | Clean Water: Centralized wastewater collection and conveyance |
|  | 5.3 | Clean Water: Decentralized wastewater |
|  | 5.4 | Clean Water: Combined sewer overflows |
|  | 5.5 | Clean Water: Other sewer infrastructure |
|  | 5.6 | Clean Water: Stormwater |
|  | 5.7 | Clean Water: Energy conservation |
|  | 5.8 | Clean Water: Water conservation |
|  | 5.9 | Clean Water: Nonpoint source |
|  | 5.10 | Drinking water: Treatment |
|  | 5.11 | Drinking water: Transmission & distribution |
|  | 5.12 | Drinking water: Transmission & distribution: lead remediation |
|  | 5.13 | Drinking water: Source |
|  | 5.14 | Drinking water: Storage |
|  | 5.15 | Drinking water: Other water infrastructure |
|  | 5.16 | Broadband: “Last Mile” projects |
|  | 5.17 | Broadband: Other projects |
|  | 6 | Expenditure Category: Revenue Replacement |
|  | 6.1 | Provision of Government Services |
|  | 7 | Administrative and Other |
|  | 7.1 | Administrative Expenses |
|  | 7.2 | Evaluation and data analysis |
|  | 7.3 | Transfers to Other Units of Government |

|  |  |
| --- | --- |
| **Expenditure Category 1: Public Health** | |
| **Expenditure Sub-Category 1.9** | |
| Please provide the number of government full-time employees responding to COVID-19 supported by this project | Click or tap here to enter text. |
| **Expenditure Sub-Categories 1.1-1.12** | |
| Does this project include a capital expenditure? | Choose an item. |
| What is the total expected cost of the capital expenditure, including pre-development costs? | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Expenditure Category 2: Negative Economic Impacts** | |
| **Expenditure Sub-Categories 2.1-2.5** | |
| Please provide the number of households served by the program | Click or tap here to enter text. |
| **Expenditure Sub-Category 2.9** | |
| Provide the number of small businesses served (by program if recipient establishes multiple separate small businesses assistance programs) | Click or tap here to enter text. |
| **Expenditure Sub-Category 2.11** | |
| Please provide a brief description of how the assistance provided responds to the negative economic impacts of the COVID-19 pandemic | Click or tap here to enter text. |
| **Expenditure Sub-Category 2.12** | |
| Please provide a description of pandemic impact on the industry and rationale for providing aid to the industry: | Click or tap here to enter text. |
| **Expenditure Sub-Categories 2.11-2.12** | |
| What is the purpose of the funds (e.g., payroll support, safety measure implementation) | Click or tap here to enter text. |
| **Expenditure Sub-Category 2.14** | |
| Please provide the number of full-time employees rehired by governments under this project | Click or tap here to enter text. |
| **Expenditure Sub-Categories 2.1-2.12** | |
| Does this project include a capital expenditure? | Choose an item. |
| What is the total expected cost of the capital expenditure, including pre-development costs? | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Expenditure Category 3: Services to Disproportionately Impacted Communities** | |
| **Expenditure Sub-Categories 3.1-3.5** | |
| Provide the National Center for Education Statistics (“NCES”) School ID or NCES District ID: | Click or tap here to enter text. |
| Are all of the schools within this school district receiving some of the funds? | Choose an item. |
| If yes, list the School District | Click or tap here to enter text. |
| If no, list the School IDs of the schools that received funds | Click or tap here to enter text. |
| **Expenditure Sub-Categories 3.1-3.16** | |
| Does this project include a capital expenditure? | Choose an item. |
| What is the total expected cost of the capital expenditure, including pre-development costs? | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Expenditure Category 4: Premium Pay** | |
| **Expenditure Sub-Categories 4.1 - 4.2** | |
| Premium pay is being provided to eligible workers in which essential critical infrastructure sector? (Choose from drop-down) | Choose an item. |
| If 'Other' is selected, please explain | Click or tap here to enter text. |
| Please provide the number of workers to be served by the program | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Expenditure Category 5: Infrastructure** | |
| **Expenditure Categories 5.1-5.15** | |
| Is the project aligned with Environmental Protection Agency's (EPA) Clean Water State Revolving Fund? Select YES or NO | Choose an item. |
| If yes, provide NPDES Permit Number | Click or tap here to enter text. |
| Is the project aligned with the EPA's Drinking Water State Revolving Fund? | Choose an item. |
| If yes, provide PWD ID Number | Click or tap here to enter text. |
| **Expenditure Categories 5.16-5.17** | |
| Is the project designed to provide services meeting adequate speeds and are provided to unserved and underserved? | Choose an item. |
| What is the speed to be offered? (in Mbps) | Click or tap here to enter text. |
| Price to be offered | Click or tap here to enter text. |
| Technology to be used | Click or tap here to enter text. |
| Miles of fiber | Click or tap here to enter text. |
| Cost per mile | Click or tap here to enter text. |
| Cost per passing | Click or tap here to enter text. |
| Number of households projected to have increased access to broadband | Click or tap here to enter text. |
| Number of households with access to minimum speed standard of reliable 100 Mbps symmetrical upload and download | Click or tap here to enter text. |
| Number of households with access to minimum speed standard of reliable 100 Mbps download and 20 Mbps upload | Click or tap here to enter text. |
| Number of institutions and businesses projected to have increased access to broadband | Click or tap here to enter text. |
| Number of each type of institution with access to minimum speed standard of reliable 100 Mbps symmetrical upload and download | Click or tap here to enter text. |
| Number of each type of institution with access to minimum speed standard of reliable 100 Mbps download and 20 Mbps upload: | Click or tap here to enter text. |

|  |  |
| --- | --- |
| **Expenditure Category 6: Revenue Replacement** | |
| **Expenditure Category 6.1** | |
| Please provide a description of what government services will be provided with the funds including the department's name and mission. | Click or tap here to enter text. |

Click or tap here to enter text.

Applicant

Click or tap to enter a date.

Date

Please note all contracts to be procured and paid from SLFRF funding must include the required federal language.