



North Carolina Department of Administration  
North Carolina Council for Women/Domestic Violence Commission

## SEXUAL ASSAULT PROGRAM GUIDELINES

### Introduction

The North Carolina Council for Women/Domestic Violence Commission (Council) is a departmental advocacy division that provides funding, consultation and/or technical assistance to sexual assault programs statewide. The purpose of the guidelines is to provide all sexual assault programs receiving funding from the Council with directives on administrative and programmatic requirements.

The Council has six regional offices that provide consultation and technical assistance to programs as well as help with program and board development. The regional office staff will visit funded programs in an effort to ensure compliance with all relevant federal laws, state statutes and North Carolina administrative code provisions, as well as best practices in service delivery.

### FUNDING ELIGIBILITY

#### A. Sexual Assault Program

1. Programs that receive sexual assault funding must adhere to the North Carolina General Statute (G. S.) §143B-394.21.
2. To qualify for the Council funding, all applicants:
  - a. Shall be a local unit of government or a private, non-profit organization.
  - b. Shall operate for one year providing the sexual assault basic services prior to applying for the sexual assault funds.
  - c. Shall comply with G. S. §143C-6-23 regarding audit requirements and grant monitoring.
  - d. Shall comply with the provisions of the grant contract.
  - e. Shall maintain compliance with agency contracting.
  - f. Shall have a Board of Directors that receives board training annually.
  - g. Shall provide timely and accurate program and financial reporting to the Council.
  - h. Shall not have supplanted federal, state or local funds that in the absence of state funds would be available for any portion of the program.

## REQUIREMENTS

### A. Accounting Requirements

All programs must adhere to the reporting requirements outlined in G. S. §143C-6-23, North Carolina Administrative Code (NCAC) Chapter 9 and the contract between the program and the Council.

### B. Use of Funds

1. Programs shall ensure that state funds are utilized for the purpose of the grant as outlined by 9 NCAC 03M.0202.
2. 9 NCAC 03M. 0201 states that programs must adhere to the Cost Principles outlined in the Office of Management & Budget's circular A-87 and A-122. Determination of allowable costs is at the Council's discretion.

#### a. Allowable Costs (Not exhaustive list)

##### i. Staff Salaries

All salaries or portions of staff salaries must relate directly to the execution of proposed sexual assault services. Programs are strongly encouraged to offset staff resources with volunteer efforts in order to maximize cost effectiveness and to encourage participation and support by the local community. Consultant fees are not considered salaries.

##### ii. Fringe Benefits

Benefits allowable under this grant program include FICA, unemployment insurance, health insurance, hospital, life insurance and retirement.

##### iii. Travel

Total amount of travel and per diem charged to the grant funds must not exceed 10% of the total grant.

- a. Mileage – reimbursed up to current state rate on organization business.
- b. Registration Fees – not to exceed \$100.00 per person per conference or workshop unless prior approval given by the assigned grants administrator.
- c. Meals – incurred on organization business reimbursed in accordance with state rates.
- d. Room Charges – for organization business reimbursement at actual or up to current in-state rates (not including taxes).
- e. Out-of-State travel – must have prior approval by the assigned grants administrator and are reimbursed in accordance with state rates. All out of state travel must have prior approval of assigned grants administrator.

##### iv. Operating Expenses

- a. Rent of office or shelter space
- b. Utilities for office or shelter

- c. Expendable supplies and materials
- d. Equipment (i. e. printers, copiers, fax machine).
- e. Postage
- f. Communications (i. e. telephone, pager, etc.)
- g. Education (i. e. videos, books, training costs)
- h. Printing of publications
- i. Emergency shelter costs (motel, hotel)
- j. Client costs (i. e. food, transportation, medications & other financial assistance)
- k. Professional services
- v. Repairs & Maintenance of Agency Owned Property
  - a. Repair and maintenance costs can be charged to grant only when the program owns or is purchasing the property.
- vi. Insurance Fees/Bonding
  - a. Insurance and Bonding fees are allowable (i. e. fire, theft, property, personal liability insurance policies and bonding for persons handling funds).
- vii. Audit
  - a. Audit costs are only allowable if the agency receives \$500,000 or more in state funds and/or federal pass-through funds and has prior approval from the assigned grants administrator per G. S. §143-6.1.
- viii. Volunteer Expenses
  - a. Service related expense reimbursement, training cost and volunteer appreciation costs.
- b. Unallowable Costs: Grant funds shall not be used for the following purposes (Not exhaustive list):
  1. Petty Cash
  2. Loans, Mortgage Payments, Property Taxes
  3. Entertainment costs, food for staff or board meetings, social activities, alcoholic beverages, flowers
  4. Debt payments, fines or penalties
  5. All costs associated with lobbying or activities designed to influence legislators or public officials to support or vote against specific legislation
  6. Construction of new property or addition, remodeling or other capital improvements
  7. Costs of tickets, prizes, dinners, or other fundraising expenses
  8. Parking fees or fines
  9. Use of any grant funds to supplant any other federal, state, or local funds
  10. Costs of Consultants (unless prior approved by assigned grants administrator)
  11. Any costs not shown in allowable costs nor itemized in this section maybe considered unallowable, please verify with your assigned grants administrator.

- c. Match Requirements: Programs applying for these funds must match state appropriated funds. The match requirement is designed to encourage sustainability of the program by diversifying the funding base and gaining local support for the program's efforts. The match must be generated locally and represent a minimum of 20% of the total award (Ex. If the total grant award is \$10,000, a \$2,000 match is required). Examples of sources for a local match include:
  - 1. Fundraisers
  - 2. Grants from private organizations (ex. Churches, foundations, businesses, etc.)
  - 3. United Way
  - 4. Civic Groups
  - 5. Local government units (city & county government)
  - 6. In-kind goods or services calculated at fair market value (volunteer board hours for required board attendance may not be utilized)

C. Administrative & Organizational Policies

Each program must have the following policies:

- 1. Conflict of Interest Policy
  - a. Programs shall have a notarized conflict of interest policy on file prior to receiving Council funds.
- 2. Non-Discrimination Policy
  - a. Programs shall have a written policy on non-discrimination which states that the program will not discriminate against staff, volunteers, or program clients based on age, disability, gender identity or expression, race, creed, sexual and religious orientation or national origin.
- 3. Organizational Code of Conduct Policy
  - a. Programs shall have a written policy on the expectations of the program and its employees pertaining to rules and regulations which could include any payments for illegal acts, indirect contributions, rebates, bribery.
- 4. Internal Controls Policy
  - a. Programs shall have a written policy on maintaining records that are relevant and material to the proper administration of its financial and programmatic activities. Those records shall include, but not limited to:
    - i. Written policies and procedures that address personnel issues, financial policies and procedures that address items such as cash receipts, cash disbursements, payroll, travel and purchasing practices.

- ii. Supporting documentation such as pre-numbered receipts, canceled checks, time sheets, invoices and contracts, which support the accounting records.
  - iii. Budgets with supporting documentation such as budget requests and approval notifications.
  - iv. Formal accounting records such as check registers, journals, and general ledgers.
- 5. Whistleblower Policy
  - a. Programs shall have a written policy that is intended to encourage and enable employees and others to raise serious concerns without fearing retaliation.
- 6. Confidentiality
  - a. Programs shall have a written confidentiality policy approved by its Board of Directors.
  - b. The policy shall govern the sharing of information internally as well as externally.
  - c. Programs shall maintain a data collection system that protects the confidentiality of the clients including storing files in locked cabinets.
  - d. A confidentiality statement shall be signed by all employees, board members and other volunteers and kept on file.
  - e. Access to files should be limited to any staff/and or volunteers doing direct case management on an as needed basis.
- 7. Personnel Policy
  - a. Programs shall have written personnel policies governing the program's operations. At a minimum, the policies should contain hiring and termination procedures including grievance procedures, and leave policies including holiday, overtime and compensatory pay.
  - b. All employees, including the Executive Director, shall complete timesheets for each pay period, documenting the time worked on a project or program, number of hours to be charged to a particular budget or project and with the supervisor's approval.
  - c. All staff should be provided with a copy of the agency's policy and procedure manual.

#### D. Board of Directors

1. It is recommended that programs are governed by a board with members who represent the demographic profile of the community, as well as businesses, government services, legal, educational, religious, and other systems.
2. The board shall designate one or more seats for sexual assault survivors. A board member's status as a survivor shall remain confidential at the discretion of the board member. However, the board chair, executive director, and the region director shall be given knowledge of the board member's status in order to meet compliance with the guidelines.
3. New board members shall receive orientation at the beginning of their term on programmatic issues, board responsibilities, fiscal responsibility and operations management.
4. Members will receive annual site visits or other assessments by the Council on these topics and other topics appropriate to the needs of the program to ensure adequate training and service provision.
5. Board orientation and training may be provided by a region director of the Council.
6. Board training not delivered by Council staff must be approved by the Council for content.
7. Boards shall have regularly scheduled meetings and keep written records of meetings, which contain date, time, place of meeting, members attending, decisions, motions, etc.
  - a. Copies of approved board minutes should be submitted via e-mail to the program's Region Director and kept on file for review by the Council staff during site visits.
8. Boards shall have an active Finance Committee to monitor financial management of the agency.
  - a. The committee should submit a written report at each board meeting for the entire Board to review.
  - b. The Treasurer must be a member of the Finance Committee.
  - c. Copies of the finance report should be submitted via e-mail to the program's Region Director to be kept on file for review by the Council staff.
9. Human Resource Planning/Personnel and Resource Development Committees of the Board are required.
10. Public Relations/Marketing and Strategic Planning Committees of the Board are recommended.
11. Programs shall have a corporate notebook, containing approved board meeting minutes for three years.
  - a. The notebook must also contain the last three year's 990 forms, the program's bylaws and the agency's 501(c) 3 letter (if applicable).

E. Liability Insurance/Bonding

1. Programs shall maintain fire, theft, property and personal liability insurance according to the grant contract.
  - a. Persons having access to financial resources shall have the necessary and appropriate insurance to cover to theft and fraud. (Please consult with your insurance carrier).
  - b. Sexual assault agencies with shelters should have appropriate insurance to cover building and/or clients in the event of accidents or loss. (Please consult with your insurance carrier).
  - c. Boards should consider Directors and Officers insurance for their own protection.

F. Grant Application

Programs must apply annually to the Council for their funding. Each program must submit the appropriate grant application along with the specified number of copies to the assigned grants administrator.

G. Grant Award

1. Programs will receive an initial grant award announcement from the Council. The funding cycle for the sexual assault funds is July 1<sup>st</sup> – June 30<sup>th</sup>.
2. Please note that the initial grant award announcement occurs at a different time each year due to the General Assembly.
3. Programs must complete the grant award agreement and return a signed original to the assigned grants administrator. The grant award agreement must include an actual budget that reflects the grant award announcement amount.
4. Funds cannot be released to programs until the funds are appropriated by the General Assembly and the grant award agreement is fully executed.
5. All payments to programs are contingent upon fund availability.
6. Programs shall ensure that all sub-grantees, if any, provide all information necessary to permit the program to comply with the standards, responsibilities, and obligations.

H. Check Signatures

1. Programs shall have two signatures on checks over \$500.
2. The use of debit cards is discouraged.

I. Source Documents

1. Accounting records shall be supported by source documentation, such as canceled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents, etc.
2. Records shall be kept for five years after audit.

J. Budget Control

1. Actual expenditures or outlays from state grant funds shall not exceed the budgeted amounts for each line item or for the total grant.

K. Internal Control

1. Written internal control and accountability shall be in place to maintain the integrity of all grant cash, real and personal property, and other assets.
2. All property shall be used for authorized purposes only.

L. Equipment Inventory

1. Programs shall adequately safeguard all purchases and shall assure that they are used solely for authorized purposes.
2. Programs shall maintain an equipment record for all fixed assets, equipment purchases or donations showing identification number of item, date of acquisition, cost, make, model, serial number and expected life, if item is depreciating. Programs should assign equipment an inventory control number.
3. Equipment records shall also indicate discarded or disposed of equipment or trade-ins of equipment for purchase of replacement items.

M. Liquidation of Obligations

1. Programs shall settle all obligations incurred under the grant award agreement no later than 90 days after the end of the funding period.

## **REPORTING REQUIREMENTS**

- A. Programs shall adhere to the reporting requirements described on the Notice of Certain Reporting and Audit Requirements. Programs shall follow reporting requirements implemented by the Council.
- B. Failure to comply with all reporting requirements and all reporting deadlines will result in the withholding or non issuance of grant funds.
- C. Failure to comply with any reporting requirements can lead to the possible termination of the grant contract which shall result in suspension of grant funds.
- D. Financial Reports
  1. Budget Transfer Request Form
    - a. Programs may transfer funding from one budget line item to another with the written prior approval of the assigned Grants Administrator and Region Director.
    - b. May 31<sup>st</sup> is the final deadline the Council will accept budget transfer requests.
  2. Sexual Assault Grant Monthly Expenditure Report
    - a. All programs must submit a monthly report to the assigned grants administrator and its region office by the fifteenth of each month. The report is considered late if the grants administrator receives the report on the sixteenth.
    - b. The monthly expenditure report must reflect the previous month's activities. (Ex. The November report is submitted in December.)

- c. Please note that the initial grant award announcement occurs at a different time each year due to the General Assembly. This may affect the July, August, September and October deadlines of the sexual assault grant monthly expenditure report. The Grants section will assess this and notify programs of the revised deadlines.
  - d. Programs must include the following: program budget, the actual expenses for the month, year to date expenditures and the remaining balance.
  - e. Programs must attach a completed supporting documentation form to the report. This form must include the following: expenditure, check number of check used to pay the expense, check date, cost of item or service, total submitted for sexual assault grant monthly expenditure report.
  - f. The executive director and the preparer of the report must sign and submit it.
  - g. Copies of all supporting documents must be attached to this form.
  - h. If the Council does not receive a sexual assault grant monthly expenditure report from a program or a requested revision of the report, the program will not receive its portion of the sexual assault grant for the quarter.
3. Projected Income Statement
- a. Programs must complete a projected income statement to include in its grant application. The Statement must include an estimate of all sources of projected income for the upcoming fiscal year.
4. Inventory Report
- a. Programs must submit an inventory report to the assigned grants administrator and its Region Director on January 20<sup>th</sup> and July 20<sup>th</sup>. If the assigned grants administrator receives the report on the twenty-first, the report is considered late.

#### E. Client Service Reports

##### 1. Semi-Annual Statistical Report

- a. All programs must submit the semi-annual statistical report by e-mail to the Grants section staff, the Council's Research Assistant and its Region Director on January 20<sup>th</sup> and July 20<sup>th</sup>.
- b. Programs must ensure the age, gender and race columns equal the number of clients served.
- c. Agencies that serve multiple counties must submit a separate report for each county.

#### F. Audit Reports

1. Programs must use the GIC online system to complete and submit Office of the State Auditor reports ([www.grants.ncauditor.net/Portal/displayLogon.do](http://www.grants.ncauditor.net/Portal/displayLogon.do)).
2. Level 1 Reporting Requirements
  - a. Programs that receive less than \$25,000 from the state of North Carolina must complete the following: Certification form and the State Grants Compliance reporting form.
  - b. The forms are due within six months of the program's year end.
  - c. The program must submit the forms to the Office of the State Auditor online through the Grants Information Center.
3. Level 2 Reporting Requirements
  - a. Programs that receive at least \$25,000 but less than \$500,000 from the state of North Carolina and federal pass-through grants must complete the following: Certification form, State Grants Compliance reporting form, Program Activities & Accomplishments report, and Schedule of Receipts & Expenditures.
  - b. The forms are due within six months of the program's year end.
  - c. The program must submit the forms to the Office of the State Auditor online through the Grants Information Center.
4. Level 3 Reporting Requirements
  - a. Programs that receive \$500,000 or more from the state of North Carolina and federal pass-through grants must complete the following: Certification form, State Grants Compliance reporting form, Program Activities & Accomplishments report, and "Yellow Book" audit conducted by CPA and includes Schedule of Federal & State Awards.
  - b. The forms are due within nine months of the program's year end.
  - c. The program must submit the forms to the Office of the State Auditor online through the Grants Information Center.
  - d. Programs can substitute an A-133 audit for the yellow book audit.

## **PROGRAM BASIC SERVICES**

### **A. Office Location**

1. The program shall operate an office that is accessible to clients, located within the county for which funding is requested. The office shall be operated by staff members and volunteers and be open during regular business hours (Monday through Friday during an eight (8) hour work day). The office shall provide information and referrals,

- advocacy, crisis intervention, and other supportive services. A private dwelling/residence shall not be utilized for office purposes.
2. The program shall also follow the Fundamental Elements of Accessibility. (<http://www.fpg.unc.edu/~ncodh/fea.cfm>)

#### B. Hotline Services

1. The program shall maintain a confidential crisis telephone line that operates twenty-four (24) hours per day, seven (7) days a week.
2. Program staff members and volunteers that work the hotline shall receive a minimum of 20 hours of training on responding to the needs of sexual assault callers including, i.e. assessing danger and the need for medical services, providing crisis intervention and supportive listening, describing the program's services and providing information on reporting to law enforcement, the legal process and emergency services.
3. Dual programs that operate both sexual assault and domestic violence programs are encouraged to cross train all staff and volunteers responsible for providing hotline coverage to maximize services to callers.
4. During regular office hours, callers must have access to a trained staff or volunteer. After regular office hours, the program may utilize answering services but calls may not be answered by an answering machine.
5. Business line voice mail systems shall provide callers with the ability to directly connect to a trained staff member or volunteer.
6. It is recommended that the program utilize the services of the LanguageLine (1-877-886-3885) in order to accept and assist foreign language callers.
7. The program shall follow the Fundamental Elements of Accessibility in providing this service. (<http://www.fpg.unc.edu/~ncodh/fea.cfm>)

#### C. Crisis Intervention & Referral Services

1. The program shall provide crisis intervention services to clients by telephone or in person.
2. The program shall refer clients to local community resources that are victim-centered, age appropriate and culturally competent.

#### D. Transportation Services

1. The program is encouraged to network with other community organizations to provide transportation.
2. The program shall provide or coordinate transportation services for clients in emergency situations and for follow-up services when needed. Follow-up services may include legal, housing, employment, medical, and government benefits.

#### E. Shelter Services

1. If shelter services are needed for a sexual assault victim, the agency will work with a local domestic violence program to arrange for shelter.

F. Advocacy Services

1. The program shall provide advocacy to clients and when appropriate to their children. Trained volunteers and staff members shall also accompany clients to law enforcement interviews, meetings with the district attorney, court proceedings and follow-up medical appointments.

G. Supportive Services

1. The program shall provide supportive services to include safety planning, supportive listening, identification of options for the client, assistance in obtaining protective orders, assistance in arranging for legal representation and support to the family members and friends that request assistance.
2. The program shall follow the Fundamental Elements of Accessibility in providing this service. (<http://www.fpg.unc.edu/~ncodh/fea.cfm>)

H. Crisis Intervention and Support Groups

1. The program shall provide crisis intervention and support groups to clients and when appropriate to their children.
2. In cases where clients wish to receive counseling, the program shall either use a licensed professional on staff to provide the counseling or refer the client to a licensed professional in the community.
3. Visit <http://www.nccasa.org/> under Legislative Resources for the Q&A on Counseling and Advocates for additional insight on this subject.
4. The program shall follow the Fundamental Elements of Accessibility in providing this service. (<http://www.fpg.unc.edu/~ncodh/fea.cfm>)

I. Community Education

1. The program shall provide information to the community on the dynamics of sexual assault and the importance of supporting efforts to reduce it. They shall also provide professional training to groups & organizations about appropriate identification and response to sexual assault.
2. The program shall have brochures, materials, etc. that outline available program services and other community resources.
3. Materials should be translated into the languages spoken by the local population.
4. The program shall follow the Fundamental Elements of Accessibility in providing this service. (<http://www.fpg.unc.edu/~ncodh/fea.cfm>)

## Sexual Assault Guidelines Addendum

### **Medical Advocacy**

(Effective for 2010-2011 Grant Cycle)

#### A. Hospital Accompaniment

1. The program shall offer hospital accompaniment to all callers reporting a recent sexual assault. Programs will respond to a hospital emergency rooms request to provide a sexual assault staff member or volunteer within a reasonable amount of time.
2. Whenever possible, the staff member or volunteer on call will offer a caller of the opposite sex the option of a same sex volunteer staff member for hospital accompaniment.
3. Whenever possible, the staff member volunteer on call will offer to connect a non-English speaking caller with a bilingual staff member volunteer or will call a bilingual staff member volunteer for hospital accompaniment when informed of the need by the hospital.
4. Staff member volunteers shall inform the client of her/his right to have none, part or the entire exam completed.
5. Staff member volunteers shall remain with the client throughout the entire examination if requested by the client.
6. Staff member volunteers shall inform the client of the support services that the sexual assault agency provides.
7. Staff member volunteers shall inform the client of the legal advocacy services available from the sexual assault agency.
8. If the client is a minor and accompanied by a guardian who has knowledge of the assault, information on the available services offered by the sexual assault agency shall be given to the guardian also.
9. If a program does not have a hospital within the county it serves or if victims are usually taken to an out-of-county hospital for forensic exams, the program shall implement an agreement with the program serving the hospital to refer clients back to their home program for follow-up support services.

#### B. Systems Advocacy

1. If the local hospital does not currently contact the program for hospital accompaniment, the program shall contact the hospital administrator to explain the service and solicit their cooperation with implementing the service.
2. The Region Director is available to assist with systems advocacy. If the hospital administration is resistant to implementing hospital accompaniment, programs should contact their Region Director for assistance.

## RESOURCE LINKS

### Funding Agency

North Carolina Council for Women/Domestic Violence Commission  
(<http://www.nccfwdvc.com>)

### State Government Resources

Governor's Crime Commission  
(<http://www.nccrimecontrol.org/Index2.cfm?a=000003,000011>)

North Carolina Administrative Code  
(<http://reports.oah.state.nc.us/ncac.asp>)

North Carolina General Statutes  
(<http://www.ncleg.net/gascripts/Statutes/StatutesTOC.pl>)

North Carolina Office of the Auditor  
(<http://www.ncauditor.net/pub2/>)

### Federal Government Resources

Office of Management & Budget  
(<http://www.whitehouse.gov/omb/>)

### Advocacy Organizations

North Carolina Coalition Against Domestic Violence  
(<http://www.nccadv.org>)

North Carolina Coalition Against Sexual Assault  
(<http://www.nccasa.org>)

North Carolina Victim Assistance Network  
(<http://www.nc-van.org>)