



# GUIDANCE FOR WORKING WITH SUB-RECIPIENTS ON ANNUAL REPORTING



Some local governments are required to submit data from sub-recipients in the annual reports (i.e., the Annual Financial Report and/or the Annual Impact Report).<sup>1</sup> This guide is intended to help local governments engage with their sub-recipients to ensure annual reporting requirements are met. Each local government is responsible for submitting an Annual Financial Report and an Annual Impact Report by September 27 of each year, regardless of whether it works with sub-recipients.

## Sub-recipient Definition

A sub-recipient is a corporation, partnership, or other legal entity that is separate from the local government and is receiving opioid settlement funds for the purpose of implementing a strategy listed in Exhibit A or Exhibit B of the NC MOA. Typically, a sub-recipient is a legal entity (rather than an individual) that contracts with a local government.

## Preparing Potential Sub-recipients for Reporting Activities

Local governments have a number of methods for deciding which entities receive opioid settlement funds. A Request for Applications (RFA) process presents opportunities to explain opioid settlement reporting requirements to potential sub-recipients. For example:

- During the RFA process, local governments provide applicants (i.e., potential sub-recipients) with training on evaluation basics.
- In the RFA, local governments explain reporting requirements of the NC MOA.
- RFA applicants may describe their capacity to conduct evaluation and reporting activities and include potential measures that they will track and report if they are selected to be a sub-recipient.

## Frequency and Form for Engaging Sub-recipients in Reporting Activities

During the contract development process, local governments should outline the reporting requirements with sub-recipients. This way, sub-recipients understand the data they will need to submit as well as the frequency and form of these reporting requirements.

Although local governments must complete and submit reports to CORE-NC annually, local governments may want to have their sub-recipients submit reports to them more frequently (i.e., monthly or quarterly).

Local governments use a variety of formats to collect data from sub-recipients. For example, sub-recipients may submit data through an online survey or may complete Excel worksheets from the Impact Report Measures Workbook that have been supplied by the local government.

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<sup>1</sup>To determine if your local government is required to submit data from sub-recipients, please visit CORE-NC. All local governments are encouraged to report sub-recipient data.

Local governments are required to submit data for at least one measure per measure type (i.e., one process measure with related demographic information, one quality measure, and one outcome measure) for each funded strategy. However, local governments may want to have their sub-recipients submit more information than is minimally required. For example, some local governments are allowing sub-recipients to choose several measures for each measure type, and some local governments are requiring sub-recipients to provide data for every measure listed on the pertinent Excel worksheet(s) (i.e., all process, demographic, quality, and outcome measures).

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Local governments that want to send a single, strategy-specific worksheet from the Impact Report Measures Workbook to a sub-recipient, can do the following:

1. Open the relevant fiscal year's Impact Report Measures Workbook
2. Locate the worksheet for the relevant strategy
3. Press Ctrl + A to select all
4. Press Ctrl + C to copy
5. Press Ctrl + N to open a new Excel file
6. Press Ctrl + V to paste the strategy-specific worksheet into the new Excel file
7. Highlight the cells that the sub-recipient should complete
8. Save this Excel file and send to the sub-recipient
9. Once the file is completed and returned by the sub-recipient, consolidate the data into the Impact Report Measures Workbook.

## **Supporting Sub-recipients' Reporting Capacity**

Disbursing funds to sub-recipients creates ongoing opportunities for local governments to increase sub-recipients' reporting capacity and increase data quality over time. Here are ways local governments could provide this support:

- After a contract is executed, host a group training on reporting requirements for all sub-recipients.
- After a contract is executed, provide one-on-one training with each sub-recipient.
- Set reporting due dates for sub-recipients that fit with the local government's timeline (i.e., all local governments must submit the Annual Financial Report and Annual Impact Report on September 27 so reporting due dates for sub-recipients should be well in advance of this date.)
- Host regular meetings between local government and all sub-recipients, where progress updates and resources are shared and sub-recipient data is discussed.
- Conduct quarterly site visits with sub-recipients to discuss implementation of opioid abatement strategies and their data collection efforts.



- Share the *Guide to the Measures Workbook for the Annual Impact Report* so that sub-recipients will understand how to complete relevant tabs (i.e., worksheets) within the Impact Report Measures Workbook.
- Share the *Guidance for the Brief General Narratives, Progress Reports, and Success Stories* so that sub-recipients will understand how to create Progress Reports and Success Stories.
- Share the *NC Opioid Settlements Sub-recipient Reporting* video so that sub-recipients will understand the importance of reporting timely and accurate information to their partners in local government.

### **Consolidating Information from Sub-recipients for the Annual Impact Report**

- Regardless of the data collection methods a local government chooses to use with its sub-recipients or the types of support they provide, the local government must compile all sub-recipient data when completing the Annual Impact Report. Because reporting occurs at the strategy level (not at the organization, program, or project level), local governments with multiple sub-recipients must compile and summarize sub-recipients' narrative information (e.g., Progress Reports, Success Stories) and numeric data (e.g., process, quality, outcome measures) when completing the Annual Impact Report. There should only be one Progress Report and one Success Story submitted for each funded strategy.
- If a local government plans to capture the work of multiple sub-recipients that are funded under the same strategy, they may include narrative information from each of these sub-recipients in the one Progress Report and/or one Success Story for the applicable strategy.
- It is important to remind sub-recipients that individual's names should be anonymized to protect privacy. Agency names, however, can be shared in these narrative sections of the Annual Impact Report.
- As a reminder for the numeric pieces of the Annual Impact Report, the Impact Report Measures Workbook should only have one compiled worksheet for each funded strategy when it is submitted to CORE-NC, regardless of the number of sub-recipients funded for that strategy.