U.S. Administration on Aging Grants Workshop
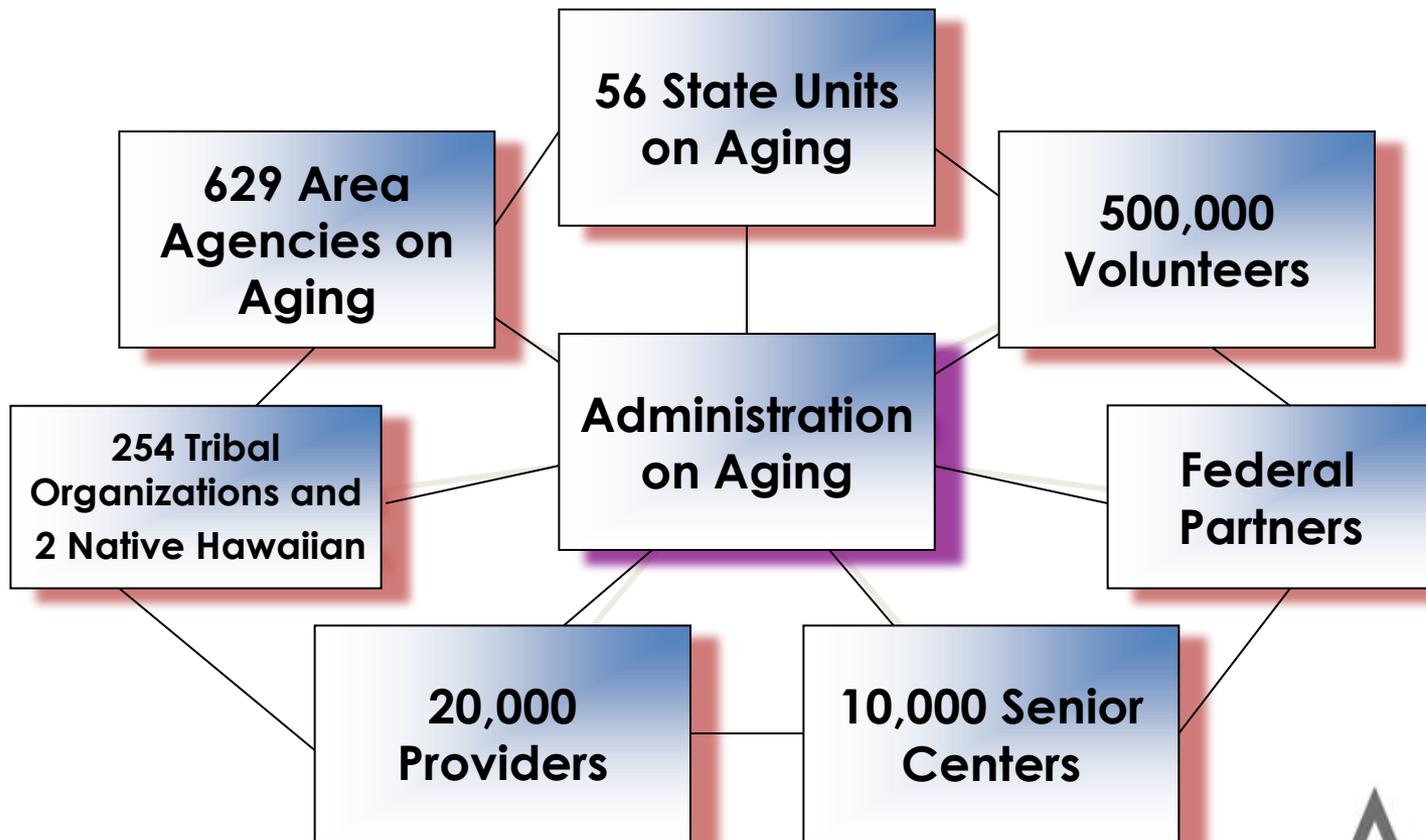
May 20, 2011
Downey, CA

AoA
Administration on Aging

AoA is the Federal Leader of the Aging Network

56 State Units on Aging

629 Area Agencies on Aging

500,000 Volunteers

254 Tribal Organizations and 2 Native Hawaiian

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Federal Partners

20,000 Providers

10,000 Senior Centers

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Mission

The mission of the Administration on Aging (AoA) is to develop a comprehensive, coordinated and cost-effective system of home and community-based services that helps elderly individuals maintain their health and independence in their homes and communities.

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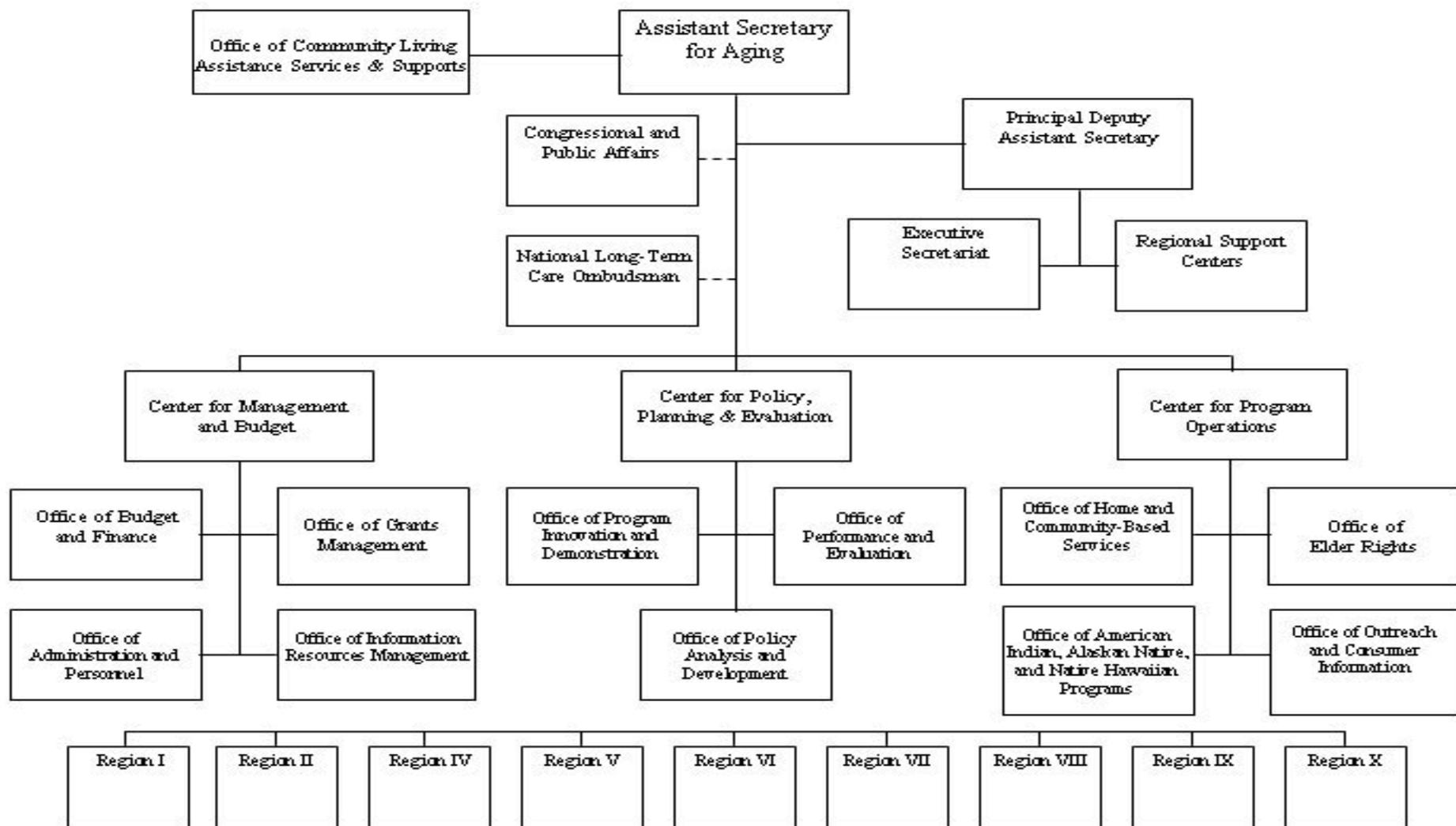
Who We Serve

➤ **9.8 Million** Elderly 60 & Over

➤ **3 Million** Who Rely on the Network for Intensive Services

➤ **700,000** Caregivers

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What We Provide

➤ HCB-LTC Services
  ✓ ADRCs, case management, adult day care, transportation, I&R, personal care, homemaker

➤ Nutrition Services
  ✓ Meals, counseling, screening

➤ Caregivers
  ✓ Information, assistance, respite, training, support groups, supplemental services
  ✓ Lifespan Respite Care

➤ Preventive Health
  ✓ Physical activity, education, behavioral modification, health screenings, medication management

➤ Elder Rights
  ✓ Ombudsman, legal, elder abuse, pension counseling

➤ Alzheimer's
  ✓ Home health, respite, personal care, training & assistance
    ✦ Targeted at the hardest to reach
    ✦ Minority, rural and limited English speaking individuals

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What We Provide

➢ Nearly 28 million hours of in-home services such as homemaker, chore and personal care;

➢ Nearly 236 million meals in home and community-based settings;

➢ Nearly 13 million units of services for over 700,000 caregivers; and,

➢ 29 million rides to doctor's offices and other critical daily activities.

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Consumer Outcomes

➢ **93%** of home-delivered meal recipients report meals _enabled them_ to continue living in their own homes

➢ **49%** of transportation recipients rely on OAA services for <u>half or more</u> of their transportation needs

➢ **77%** of caregiver report that the NFCSP enabled them to _provide care longer_

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Discretionary Grants

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AoA Discretionary Grants

➢ Internal Planning
  ✳ Planning meetings conducted based on enacted appropriations

  ✳ Budget Summary Table developed

  ✳ Three types of Grants considered
    ❖ New Competitive
    ❖ Continuation
    ❖ Congressional Mandate (Earmark)

  ✳ Appropriate Program Office sets goals and objectives for new initiatives, assigns lead Program Officer, determines mechanism (grant, cooperative agreement, contract)

  ✳ Concept Paper developed for new initiatives

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Pre-Award: New Competitive Grants

➢ Concept paper - approval by the Assistant Secretary for Aging

➢ Develop Program Announcement (approved by Deputy Assistant Secretary and Office of Grants Management) and post on www.grants.gov (normally with closing date in 60 – 90 days)

➢ Receive and screen applications through www.grants.gov and conduct Independent Review (field vs. on-site reviews)

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Pre-Award: New Competitive Grants (cont.)

➤ Applications ranked based on reviewer scores and decision packet with summary information and recommendations sent to Assistant Secretary

➤ Final funding decisions made by Assistant Secretary

➤ Budget and programmatic negotiations

➤ Awards data:
  ✓ Created/certified in Grants Administration Tracking & Evaluation System (GATES)

  ✓ Transmitted to Payment Management System (PMS) and Unified Financial Management System (UFMS)

➤ Electronic Notice of Award (NoA) issued

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Pre-Award: Non-Competing Continuation Grants

➢ Program Office develops allocation plan designating amount of continuation grant awards

➢ Continuation application posted on www.grants.gov and grantees e-mailed instructions (60 days to submit application)

➢ Grants Specialist and Program Officer conduct application review and negotiations with grantees

➢ Decision packet including project descriptions submitted to Assistant Secretary

➢ Awards data:
  ✓ Created/certified in GATES

  ✓ Transmitted to PMS and UFMS

➢ Electronic NoA issued

Post-Award

➤ Grants Specialist Role:
  - ✓ Maintain official file

  - ✓ Accept Program Progress Reports (PPR) and Federal Financial Reports (SF-425)

  - ✓ Review SF-425

  - ✓ Respond to requests for budget revisions, no-cost extensions and other requests

➤ Program Officer Role:
  - ✓ Training and technical assistance

  - ✓ Review PPR

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Formula Grants

AoA Formula Grants

➤ Title III (56 States/Territories)
  ✓ B - Supportive Services

  ✓ C1 and C2 – Congregate & Home Delivered Meals

  ✓ D – Health Promotion Disease Prevention

  ✓ E – National Family Caregiver Support Program

  ✓ Nutrition Services Incentive Program (NSIP)

➤ Title VII (56 States/Territories)
  ✓ Ombudsman

  ✓ Elder Rights Protection

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AoA Formula Grants

➢ Title VI
- ✓ Supportive Services and Nutrition
- ✓ Caregiver Support
- ✓ NSIP

➢ ARRA
- ✓ States and Tribes – C1 & C2

➢ MIPPA
- ✓ States for AAAs and ADRCs
- ✓ Tribes

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AoA Formula Grants

➢ Must have approved State Plan (every 2 – 4 yrs)
  ✓ For Title VI – respond to a Program Announcement every 3 years

➢ Formula verification/AoA Office of Budget and Finance (OBF) Funding

➢ Formula developed according to AoA Office of Performance and Evaluation (OPE) population data

➢ Awards data:
  ✓ Created/certified created/certified in GATES

  ✓ Transmitted to PMS and UFMS

➢ Awards issued electronically for States and hard copy for tribes

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AoA Formula Grants

Reporting

➢ States

❋ SPR or National Ombudsman Report – annual

❋ Financial Report – 425 – semi-annual (regions review)

❋ Title III Supplemental 425 report – semi-annual (regions review)

❋ Maintenance of Effort – annual (regions review)

➢ Tribes

❋ Performance Reports – annual

❋ Financial Report – 425 – annual (regions review)

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Applications Made Easy
Avoiding Bumps in the Road

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Program Announcement

➢ Discretionary Program Announcement – a.k.a. Funding Opportunity Announcements are posted on www.grants.gov

➢ U.S. DHHS agencies promote free and open competition between all potential applicants

➢ This is your critical first step
  ❈ ***Pay CLOSE attention to all elements and requirements!***

➢ Program Announcements from DHHS follow a standard template.

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Program Announcement

➢ Funding Opportunity Description and Funding Priorities
   ❋ Target populations
   ❋ Priority areas
   ❋ New models or approaches

➢ Project Funding

   ❋ Award type

   ❋ Estimated federal funds available

   ❋ Estimated number of awards

   ❋ Projected start date

   ❋ Estimated project length

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Program Announcement

- Eligibility Information
  - Eligible applicants
  - Cost sharing or matching
  - Responsiveness criteria
  - Screening criteria
    - Application deadline
    - The Project Narrative format
      - Double-spaced
      - 8 ½" x 11" plain white paper
      - 1" margins on both sides
      - Font size of not less than 11
    - The Project Narrative must not exceed 20 pages, excluding the Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel

Program Announcement

➢ Content and Form of Application Submission
  ❋ Letter of Intent
  ❋ Project Narrative
    ❖ Summary/Abstract
    ❖ Problem Statement
    ❖ Goal(s) and Objective(s)
    ❖ Proposed Intervention
    ❖ Special Target Population and Organizations
    ❖ Outcomes
    ❖ Project Management
    ❖ Evaluation
    ❖ Dissemination
    ❖ Organizational Capability
  ❋ Work Plan
  ❋ Letters of Commitment from Key Participating Organizations and Agencies
  ❋ Budget Narrative/Justification

Common Errors

➤ Incomplete SF-424 Face Sheet
  ❈ Congressional District(s)

➤ Incorrect or incomplete EIN & DUNS

➤ Missing Sections
  ❈ Assurances
  ❈ Sections of Narrative

➤ Detailed Budget

➤ Budget Narrative

Programmatic Review

➢ Independent Review Panels
  ❉ At least 3 individuals
  ❉ Score based on published review criteria
    ❖ Project Relevance & Current Need
    ❖ Approach
    ❖ Budget
    ❖ Project Impact
    ❖ Organizational Capacity
  ❉ Panels may meet to discuss
  ❉ Scores may be normalized
➢ Final decisions are made by the Assistant Secretary for Aging
  ❉ May account for geographic representation, programmatic diversity and other considerations

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Grants Management Review

➤ Office of Grants Management completes a budget analysis for each application approved for funding.

➤ *Pay attention to instructions included in Program Announcement Attachments*

Budget Review

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Attachment C: Budget Narrative/Justification Format – Sample Format with EXAMPLES					
Personnel	$47,700	$23,554	$0	$71,254	**Federal** Project Director (name) = .5 FTE @ $95,401/yr = $47,700 **Non-Fed Cash** Officer Manager (name) = .5FTE @ $47,108/yr = $23,554 Total $71,254
Fringe Benefits	$17,482	$8,632	$0	$26,114	**Federal** Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)

➢ Employees –
- ✓ Salaries and fringe benefits are typically federal costs
- ✓ If Non-Federal – it is Non-Federal Cash & no in-kind

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Budget Review

➢ "<u>In-kind contributions</u>" are the value of goods and/or services third parties donate for program or project purposes without charge.

➢ By definition, recipients do not provide in-kind contributions, their partners do.

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Budget Review

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Attachment C: Budget Narrative/Justification Format – Sample Format with EXAMPLES					
Travel	$4,707	$2,940	$0	$7,647	**Federal** Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles $2,457 Lodging: 15 days @ $110/day $1,650 Per Diem: 15 days @ $40/day $600 Total $4,707 **Non-Fed Cash** Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ $500 $1,500 Lodging: 3 days x 3 staff @ $120/day $1,080 Per Diem: 3 days x 3 staff @ $40/day $360 Total $2,940

➢ Properly detail travel as outlined in the Program Announcement

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Budget Review

Attachment C: Budget Narrative/Justification Format – Sample Format with EXAMPLES					
Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Equipment	$10,000	$0	$0	$10,000	*No Equipment requested OR:* Call Center Equipment Installation = $5,000 Phones = $5,000 Total $10,000
Supplies	$3,700	$5,784	$0	$9,484	**Federal** 2 desks @ $1,500 $3,000 2 chairs @ $300 $600 2 cabinets @ $200 $400 **Non-Fed Cash** 2 Laptop computers $3,000 Printer cartridges @ $50/month $300 Consumable supplies (pens, paper, clips etc…) @ $182/month $2,184 Total $9,484

➢ Equipment – Tangible nonexpendable personal property $5,000

➢ Supplies – All other personal property that is not property (include line items)

Budget Review

	Attachment C: Budget Narrative/Justification Format – Sample Format with EXAMPLES				
Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	**Justification**

Contractual	$30,171	$0	$0	$30,171	(*List* the *organization name*, *purpose of contract* and *estimated dollar amount*)
					Contract with AAA to provide respite services:
					  11 care givers @ $1,682 = $18,502
					  Volunteer Coordinator = $11,669
					  Total $30,171
					
					NOTE: If contract details are unknown due to contract yet to be made provide same information listed above and stated the following:
					A detailed evaluation plan and budget will be submitted by (date), when contract is made.

- ➢ Enter all contracts

- ➢ *No need for separate budget justification* if contractual exceeded 33% of total grant, as long as applicant meet the established procurement standards in accordance with the policies and procedures as stated in 45 CFR 74.44 (non-profits) and 92.36 (states)

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Budget Review

Attachment C: Budget Narrative/Justification Format – Sample Format with EXAMPLES					
Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Other	$5,600	$0	$5,880	$11,480	**Federal** 2 consultants @ $100/hr for 24.5 hours each = $4,900 Printing 10,000 Brochures @ $.05 = $500 Local conference registration fee (name conference) = $200 Total $5,600 **In-Kind** **Volunteers** 15 volunteers @ $8/hr for 49 hours = $5,880

➢ Other costs may include, but not limited to: insurance, medical and dental costs (i.e., for project volunteers this is different from personnel fringe benefits), non-contractual fees and travel paid directly to individual consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (i.e., registration fees)

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Budget Review

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Attachment C: Budget Narrative/Justification Format – Sample Format with EXAMPLES					
Indirect Charges	$20,934	$0	$0	$20,934	21.5 % of salaries and fringe = $20,934 IDC rate is attached.
TOTAL	$140,294	$40,910	$5,880	$187,084	

75% of Total Cost

(Federal $)

25% of Total Cost

(Required Match)

Be sure the match amount is correct – % of TOTAL Costs

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To Find an Answer to
All your Grants Questions?

HHS Grants Policy Statement:

http://www.hhs.gov/grantsnet/docs/HHSGPS_107.doc

Understanding Match

Matching and Cost Sharing

➢ The terms "matching" and "cost sharing" are often used interchangeably.

* ❊ "Matching" usually refers to a statutorily specified percentage.
  * ☑ Specified as a fixed or minimum percentage of non-Federal participation in allowable program or project costs that must be contributed by a recipient in order to be eligible for Federal funding or a not-to-exceed percentage of Federal participation.

* ❊ "Cost sharing" refers to any situation in which the recipient shares in the costs of a project other than as statutorily required matching.

* ❊ Approved/accepted matching or cost sharing is shown in the Notice of Award.

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Matching and Cost Sharing

➢ Unless restricted by statute or regulation, matching or cost sharing may be provided as direct and/or indirect costs.

➢ Recipient contributions may be derived from:
  ❇ any non-Federal source;
  ❇ from Federal sources if received as fees, payments, or reimbursements for the provision of a specific service, such as patient care reimbursements received under Medicare or Medicaid;
  ❇ or from other program income, if authorized by the federal agency; otherwise,
  ❇ unless there is specific statutory authority, Federal funds may not be used to match HHS grant funds.

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Matching and Cost Sharing

➢ All costs and contributions used to satisfy a matching or cost-sharing requirement must be documented by the recipient and are subject to audit.

➢ Recipients should provide required matching or cost sharing in proportion to its expenditure of the Federal share of the total project costs.

➢ If a recipient fails to provide required cost sharing, the Grants Management Office generally will make a downward adjustment in the Federal award amount.

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Matching and Cost Sharing

➢ Cost-sharing requirements may not be met from the following sources:

❊ Costs paid by another Federal award or sub-award.

☑ However, this limitation does not apply to fee or profit earned by a recipient or sub-recipient from a contract awarded under another Federal assistance award.

❊ Costs or contributions used to satisfy a matching or cost-sharing requirement on another Federal grant.

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Matching and Cost Sharing

➢ Cost-sharing requirements may not be met from the following sources:

  ❇ Costs or contributions of services or property financed by program income earned by contractors under a contract from the recipient or a sub-recipient (apart from any fee or profit the contractor earns as a result of the contract), unless expressly authorized by the terms and conditions of the grant award.

In-Kind Contributions

➢ "In-kind contributions" are the value of goods and/or services third parties donate for program or project purposes without charge to a recipient (or sub-recipient or cost-type contractor under a grant).

➢ By definition, recipients do not provide in-kind contributions.

➢ Third party in-kind contributions may satisfy a matching or cost-sharing requirement only when payment for them would be an allowable cost if the party receiving the contributions (recipient, sub-recipient, or cost-type contractor) were to pay for them.

Volunteer Services

➤ Volunteer Services may be furnished by professional or technical personnel, consultants, or other skilled or unskilled labor.

➤ Volunteer services may be counted as matching or cost sharing if they provide an integral and necessary part of an approved program or project and if payment for them would constitute an allowable cost if the recipient had to pay for them.

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Valuation of In-kind Contributions

➢ Rates for volunteers must be consistent with established rates paid for similar work by the recipient or sub-recipient.

➢ If the recipient or sub-recipient does not have employees performing similar work, rates used must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved.

➢ In either case, a reasonable amount for fringe benefits may be included in the valuation.

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Valuation of In-kind Contributions

➤ When an employer other than the recipient, sub-recipient, or cost-type contractor furnishes free of charge the services of an employee in the employee's normal line of work, these services shall be valued at the employee's regular rate of pay.

➤ If the donated services are in a different line of work, rates used must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved.

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Valuation of In-kind Contributions

➤ If a third party donates the use of equipment or space in a building but retains title, the contribution shall be valued at the fair rental rate of the equipment or space.

  ❋ The federal agency may require that the market value of land or buildings or the fair rental rate of land or of space in a building be established by an independent property appraiser or by a U.S. General Services Administration representative and certified by a responsible official of the recipient. If the federal agency requires an appraisal, the Notice of Award (or equivalent) must specify that this requirement also must be imposed by the recipient on sub-recipients and contractors.

➤ If a third party donates supplies, the contribution shall be valued at the market value of the supplies at the time of donation.

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Frequently Asked Questions

FAQ

Q: Are services from federally funded people allowable cost sharing?

A: No, federal employees or volunteers funded by a federal funding stream (AmeriCorps VISTA) cannot be used to meet a cost sharing requirement.

Q: Director, 100% funded by organization, no federal funds – can his salary be used as match?

A: Typically, NO. A director's position is to oversee an organization's entire business. Director's salaries are usually included in the negotiated facilities and administrative (F&A) rate.

FAQ

Q: Can discounts, refunds, or rebates used as cost sharing?

A: No, all costs charged to HHS awards are to required to be net costs.

Q: Can in kind F&A be used on salary/fringe cash match?

A: No, only un-reimbursed F&A can be used for cost sharing.

Q: Media – newspaper insert, price of sponsorship is $2,600 – can the value be counted?

A: Yes, the amount the newspaper would charge for the ad is allowable.

Questions?

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