

# Grants Workshop

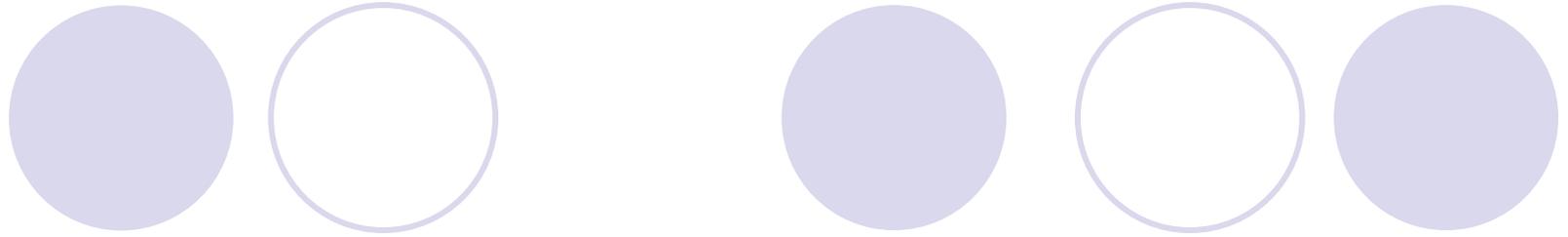
U.S. Administration on Aging  
June 4, 2010  
Downey, CA



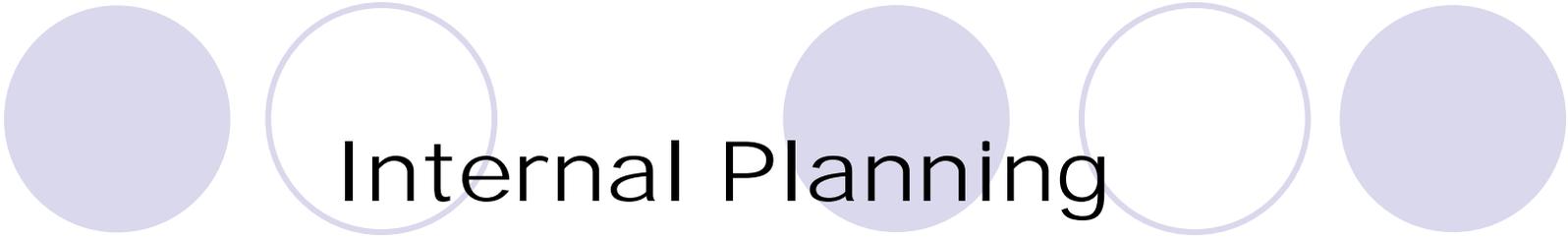


# Section I: Grants Management Overview

- Discretionary
  - Internal Planning
  - Pre-Award Procedures
  - Post-Award Procedures
- Formula

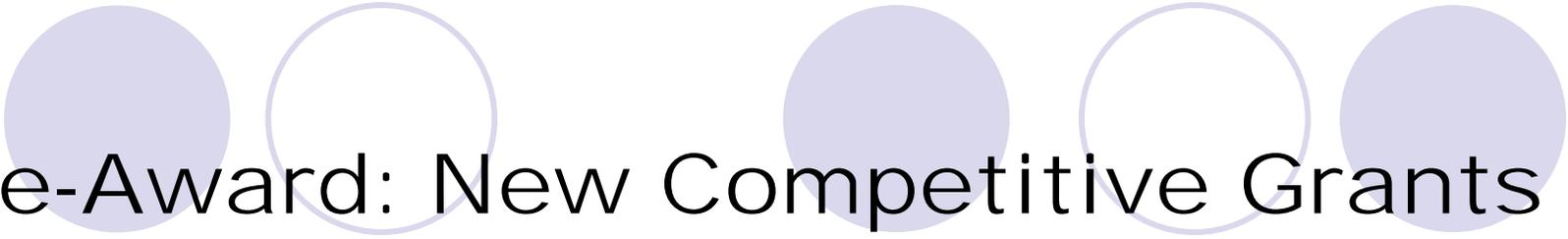


# Discretionary Grants



# 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



## Pre-Award: New Competitive Grants

- Concept paper - ASA approval
- Develop Program Announcement (DAS and OGM approval) and post on [www.grants.gov](http://www.grants.gov) (normally 60 – 90 days to apply)
- Receive and screen applications through [www.grants.gov](http://www.grants.gov) and conduct Independent Review (field vs on-site reviews)



# Pre-Award: New Competitive Grants (cont.)

- Applications ranked based on reviewer scores and decision packet with summary information and recommendations sent to ASA
- Final funding decisions made by ASA
- Budget and programmatic negotiations
- Awards data created/certified in GATES and transmitted to PMS and UFMS
- Electronic Notice of Award issued



## Pre-Award: Non-Competing Continuation Awards

- Program Office develops allocation plan designating amount of continuation grant awards
- Continuation application posted on [www.grants.gov](http://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 ASA
- Awards data created/certified in GATES and transmitted to PMS and UFMS
- Electronic Notice of Award issued



## Pre-Award: Congressional Mandates: New/Non-Competitive

- Congress specific funds to specific organization for specific activity. Also known as “hard” earmarks
  - Specific funding for specific activity but does not designate recipient
- Streamlined review process
- ASA approval
- Awards data created/certified in GATES and transmitted to PMS and UFMS
- Electronic NoA for one year project period

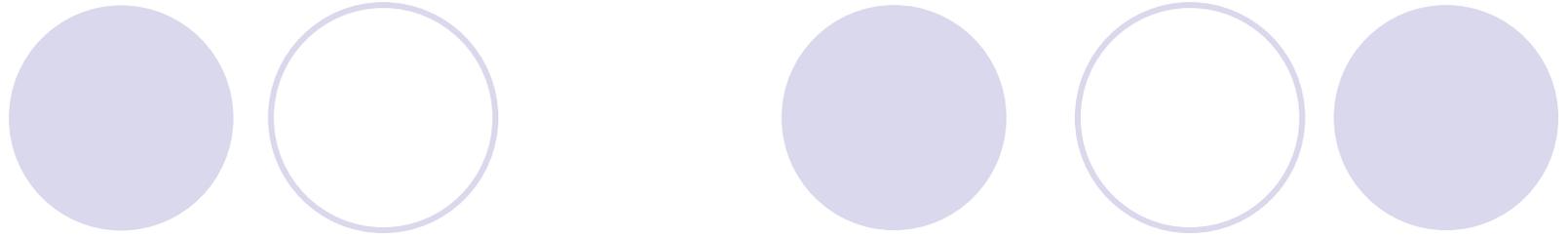


- Grants Specialist Role

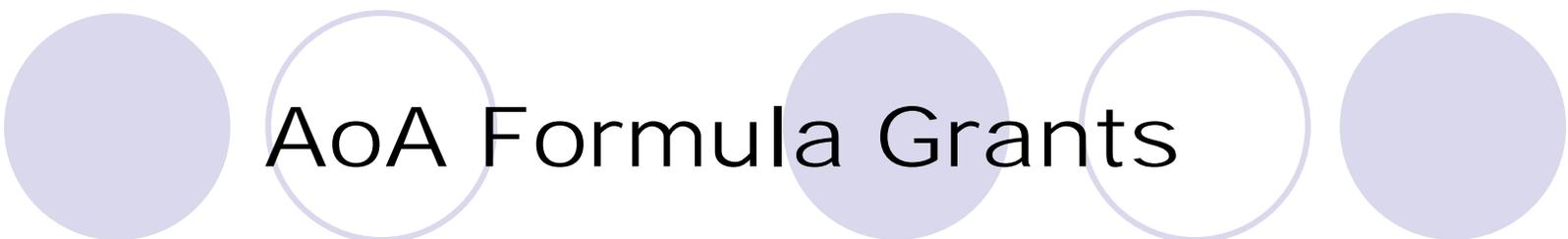
- Maintain official file
- Accept Program Progress Reports (PPR) and Financial Status Reports (269)
- Review Financial Status Reports
- Respond to requests for budget revisions, no-cost extensions and other requests

- Program Officer Role

- Training and technical assistance
- Review PPR

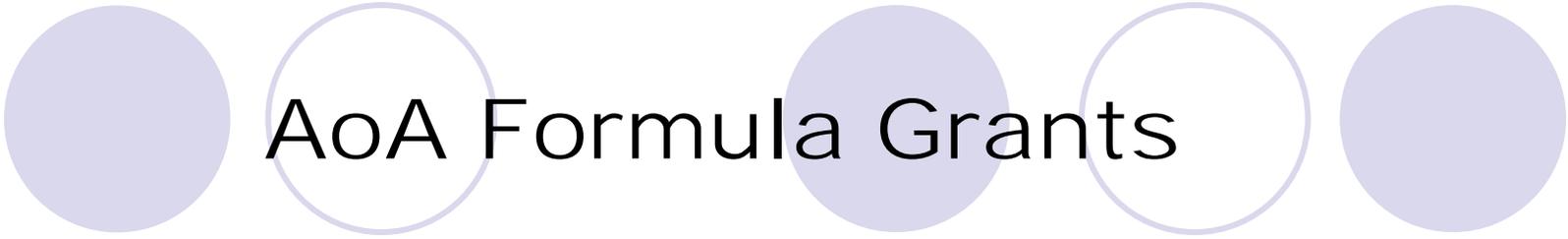


# Formula Grants



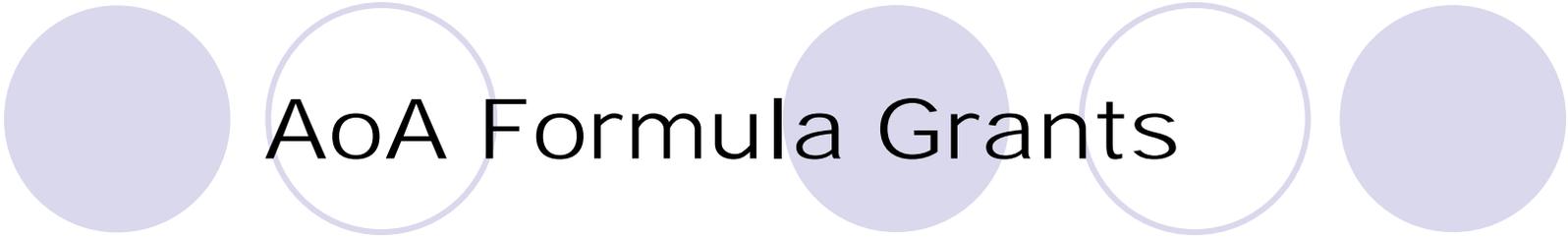
# AoA Formula Grants

- 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



# AoA Formula Grants

- Title VI (244 Tribal Organizations + 2 Native Hawaiian Organizations representing 400 tribes)
  - Supportive Services and Nutrition
  - Caregiver Support
  - NSIP
- ARRA
  - States and Tribes – C1 & C2
- MIPPA
  - States for AAAs and ADRCs
  - Tribes



# 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

## Section II: Applications Made Easy

### - Avoiding Bumps in the Road





# PREAWARD Program Announcement

- Discretionary Program Announcement – a.k.a. Funding Opportunity Announcements are posted on [www.grants.gov](http://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!*



# PREAWARD

## Program Announcement

- PA's from DHHS follow a standard template.
- Pay special attention to:
  - Funding Opportunity Description and Funding Priorities
    - Target populations
    - Priority areas
    - New models or approaches
  - Project Funding
    - Aggregate funding
    - Number of awards
    - Size of awards



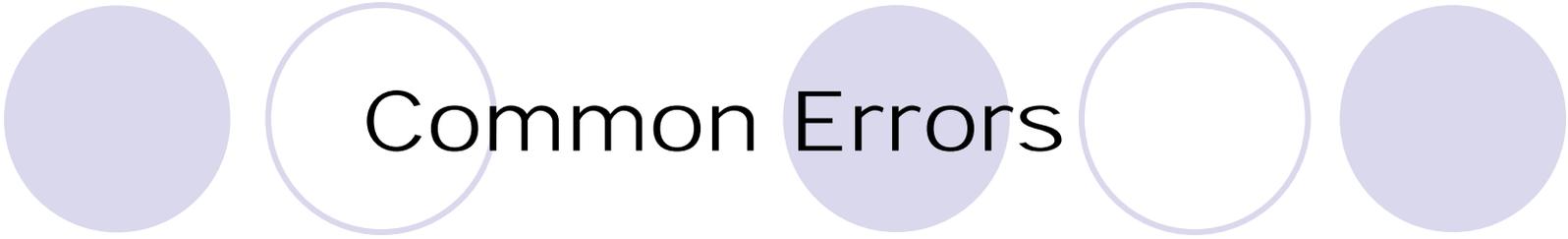
# PREAWARD Program Announcement

- Pay special attention to:
  - Eligibility Information
    - Applicant
    - Cost sharing or matching
  - Screening and Responsiveness Criteria
    - Submission deadline
    - Proof of applicant status
    - Elements of the Project Narrative
    - Commitment letters – Partners
    - Eligible applicant
    - Others
- If these criteria are not met, application will receive no further consideration



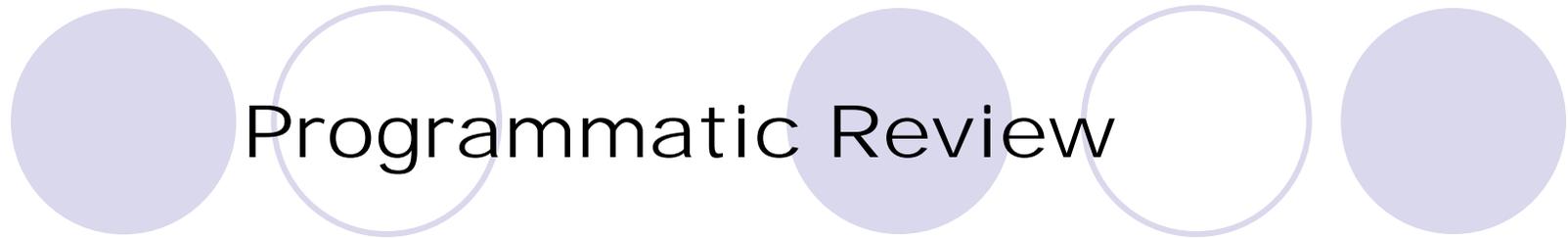
# PREAWARD Program Announcement

- Pay special attention to:
  - Project Narrative requirements
    - Proposed Intervention
    - Outcomes
    - Evaluation
  - Application Review Criteria
    - Details what reviewers must look for in rating your application



# Common Errors

- Incomplete SF-424 Face Sheet
  - County
  - Congressional District(s)
- Incorrect or incomplete EIN
- 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
  - 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



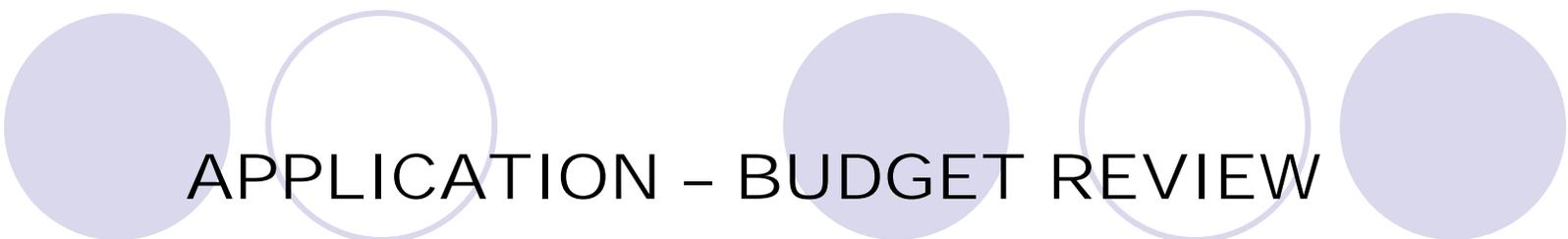
GRANTS MANAGEMENT  
REVIEW

- Office of Grants Management completes a budget analysis for each application approved for funding.
- Pay attention to Instructions included in PA Attachments

# APPLICATION – BUDGET REVIEW

Attachment B: Budget Narrative, Page 1 – Sample Format with EXAMPLES					
Object Class Category	Federal Funds	Non-Federal Cash	NonFederal In-Kind	TOTAL	Justification
Personnel	\$40,000	\$5,000		\$45,000	Project Supervisor (name) = .3FTE @ \$50,000/yr = \$15,000 Project Director (name) = 1FTE @ \$30,000 = \$30,000
Fringe Benefits	\$12,600	0	0	\$12,600	Fringes on Supervisor and Director @ 28% of salary. FICA (7.65%) = \$3,442 Health (12%) = \$5,400 Dental (5%) = \$2,250 Life (2%) = \$ 900 Workers Comp Insurance (.75%) = \$ 338 Unemployment Insurance (.6%) = \$ 270

- Employees –
  - Salaries and fringe benefits are typically federal costs.
  - If Non-Federal – it is Non-Federal Cash
    - It is not In-Kind.



## APPLICATION – BUDGET REVIEW

- **“In-kind contributions”** 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.

# APPLICATION – BUDGET REVIEW

Attachment B: Budget Narrative, Page 1 – Sample Format with EXAMPLES					
Object Class Category	Federal Funds	NonFederal Cash	Non-Federal In-Kind	<u>TOTAL</u>	Justification
Travel	\$3,000	\$ 967		\$3,967	Travel to Annual Grantee Meeting: Airfare: 1 RT x 2 people x \$750/RT = \$1,500 Lodging: 3 nights x 2 people x \$100/night = \$ 600 Per Diem: 4 days x 2 people x \$40/day = \$ 320 Out-of-Town Project Site Visits Car mileage: 3 trips x 2 people x 350 miles/trip x \$ .365/mile = \$ 767 Lodging: 3 trips x 2 people x 1 night/ trip x \$50/night = \$300 Per Diem: 3 trips x 2 people x 2days/trip x \$40/day = \$480

- Properly detail travel as outlined in the PA

# APPLICATION – BUDGET REVIEW

Attachment B: Budget Narrative, Page 1 – Sample Format with EXAMPLES					
Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	<u>TOTAL</u>	Justification
Equipment	0	0	0	0	No equipment requested
Supplies	\$1,500		\$2,000	\$3,500	Laptop computer for use in client intakes = \$1,340 Consumable supplies (paper, pens, paper clips, rubber bands, - itemized) \$100/mo x 12 months = \$1,200 Posters & laminate \$80/mo x 12 months = \$ 960

- Equipment – Tangible nonexpendable personal property \$5,000 .
- Supplies – All other personal property that is not property. Include line items.

# APPLICATION – BUDGET REVIEW

Attachment B: Budget Narrative, Page 1 – Sample Format with EXAMPLES

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	<u>TOTAL</u>	Justification
Contractual	\$200,000		\$50,000	\$250,000	Contracts to A,B,C direct service providers (name providers) adult day care contractor = \$75,000 (In-kind \$25,000) respite care contractor in home= \$75,000 (In-kind \$15,000) respite care contractor-NF = \$50,000 (In-kind \$5,000) personal care/companion provider = \$50,000 (In-kind \$5,000)

- Enter all contracts.
- If over 33%, need separate budget justification.

# APPLICATION – BUDGET REVIEW

Attachment B: Budget Narrative, Page 1 – Sample Format with EXAMPLES					
Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	<i>TOTAL</i>	Justification
Other	\$10,000	\$8,000	\$19,800	\$37,800	Local conference registration fee (name conference) = \$ 200 Printing brochures (50,000 @ \$ .05 ea) = \$ 2,500 Video production (In-kind) = \$19,800 Video Reproduction = \$ 3,500 NF Respite Training Manual reproduction \$3/manual x \$2000 manuals = \$ 6,000 Postage \$150/mo x 12 months = \$ 1,800 Caregiver Forum meeting room rentals \$200/day x 12 forums = \$ 2,400 Respite Training Scholarships = \$1,600

- Other costs may include: local transportation, postage, space and equipment rentals/lease, printing and publication, computer use, registration fees.

# APPLICATION – BUDGET REVIEW

Indirect Charges	0	0	0	0	None
<b><i>TOTAL</i></b>	\$265,700	\$10,800	\$77,767	\$354,267	

75% of Total Cost  
(Federal \$)

25% of Total Cost  
(Required Match)

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



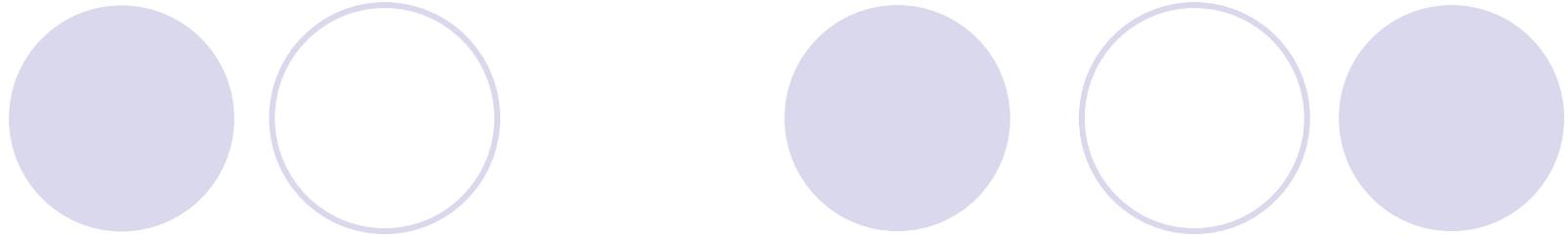
To Find an Answer to  
All your Grants Questions?

HHS Grants Policy Statement:

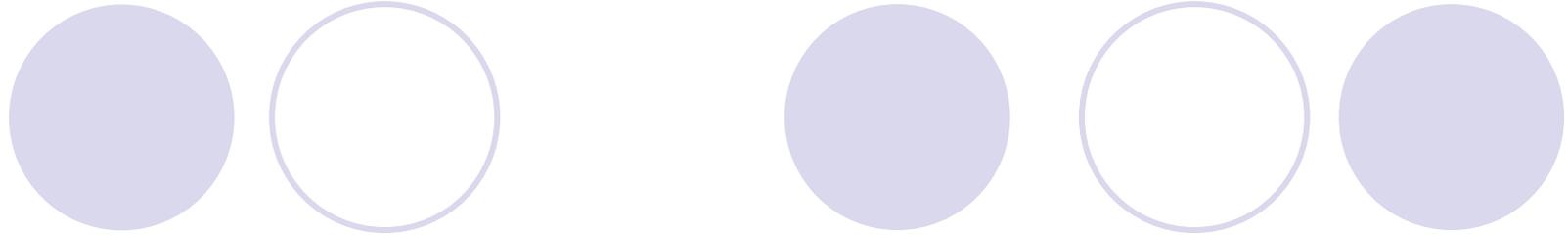
[http://www.hhs.gov/grantsnet/docs/HHS  
GPS\\_107.doc](http://www.hhs.gov/grantsnet/docs/HHS<br/>GPS_107.doc)

# Section III: Matching and Cost-Sharing

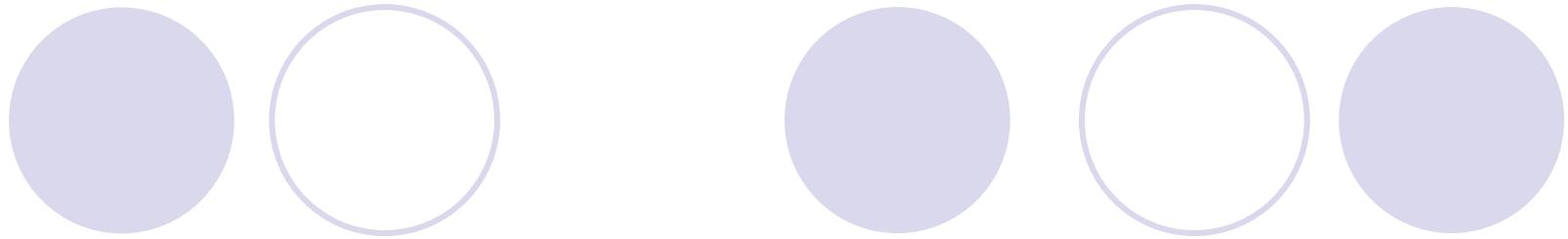




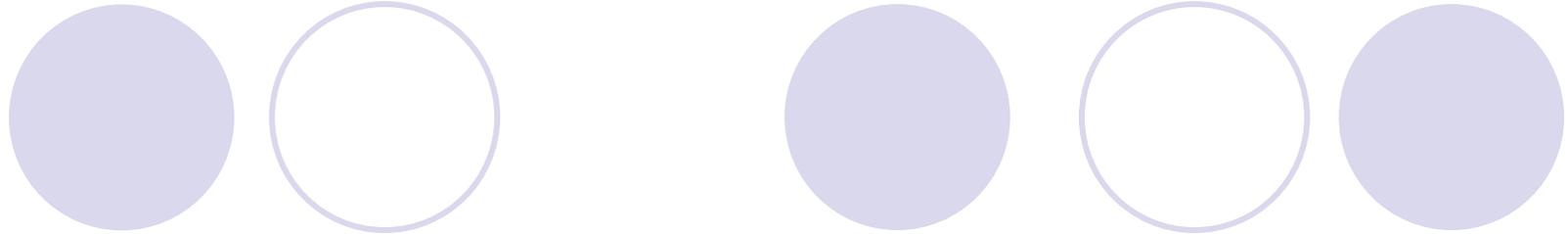
- “Matching” usually refers to a statutorily specified percentage
  - Specified as a fixed or minimum % of non-Federal participation in allowable program or project costs that must be contributed by a recipient in order to be eligible for Federal funding or a not-to-exceed % of Federal participation.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



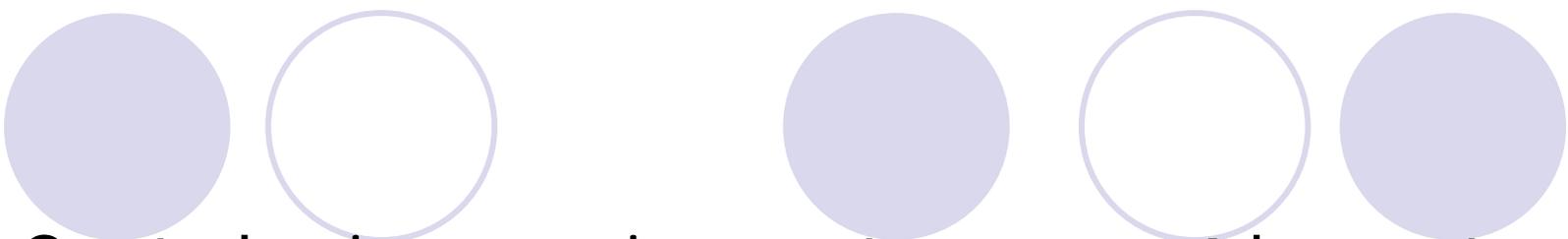
- Unless restricted by statute or regulation, matching or cost sharing may be provided as direct and/or indirect costs.
- Recipient contributions may be derived from:
  - any non-Federal source;
  - from Federal sources if received as fees, payments, or reimbursements for the provision of a specific 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.

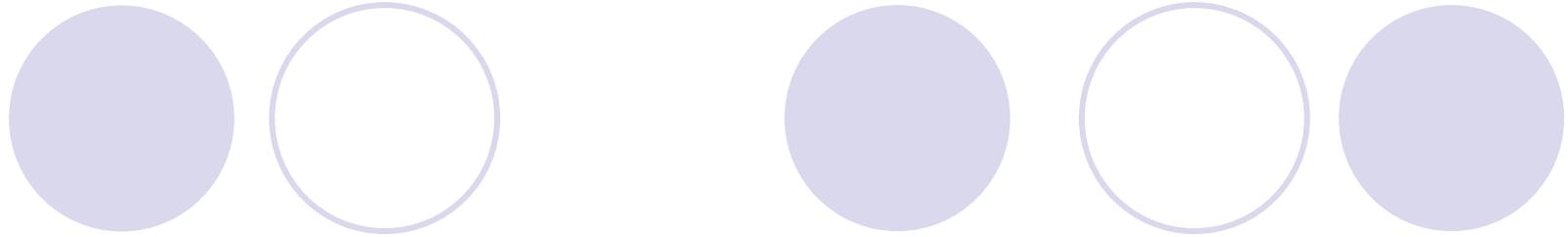


- All costs and contributions used to satisfy a matching or cost-sharing requirement must be documented by the recipient and are subject to audit.
- Recipients should provide required matching or cost sharing in proportion to its expenditure of the Federal share of the total project costs.
- If a recipient fails to provide required cost sharing, the Grants Management Office generally will make a downward adjustment in the Federal award amount.

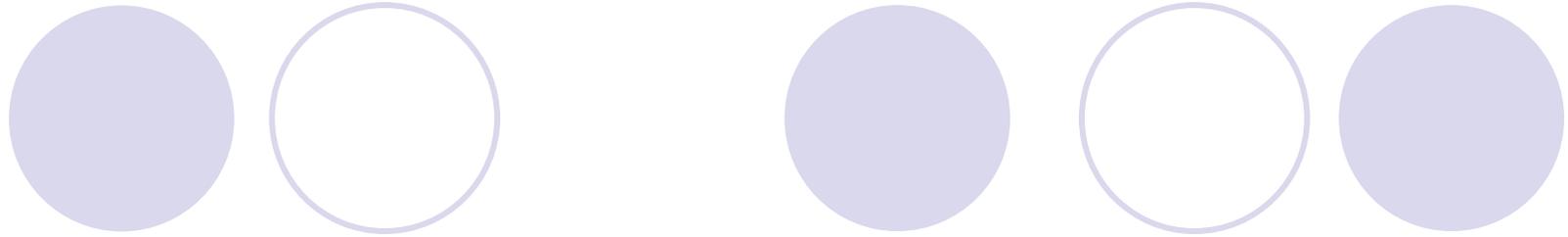


- Cost-sharing requirements may **not** be met from the following sources:
  - Costs paid by another Federal award or sub-award.
    - However, this limitation does not apply to fee or profit earned by a recipient or sub-recipient from a contract awarded under another Federal assistance award.
  - Costs or contributions used to satisfy a matching or cost-sharing requirement on another Federal grant.

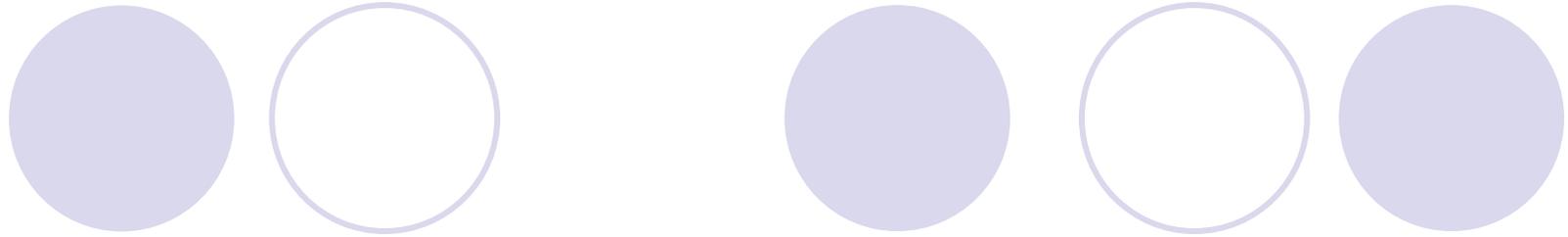
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- Cost-sharing requirements may **not** be met from the following sources:
    - Costs or contributions of services or property financed by program income earned by contractors under a contract from the recipient or a sub-recipient (apart from any 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” 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.

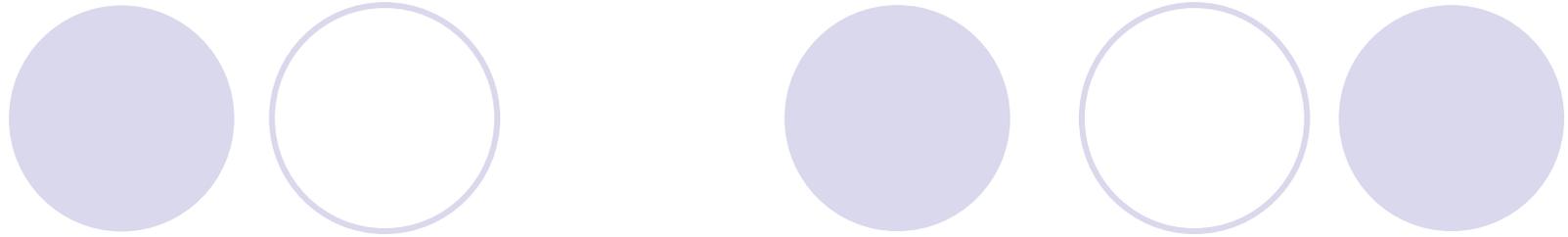


- Third party in-kind contributions may satisfy a matching or cost-sharing requirement only when payment for them would be an allowable cost if the party receiving the contributions (recipient, sub-recipient, or cost-type contractor) were to pay for them.

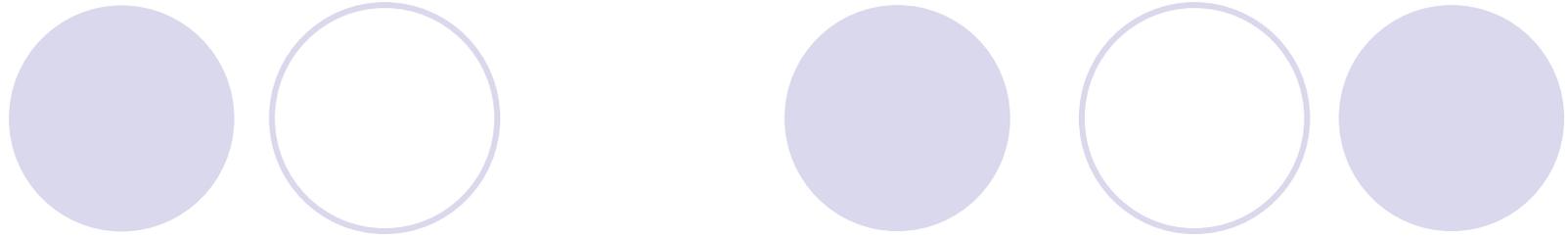


- Volunteer services:

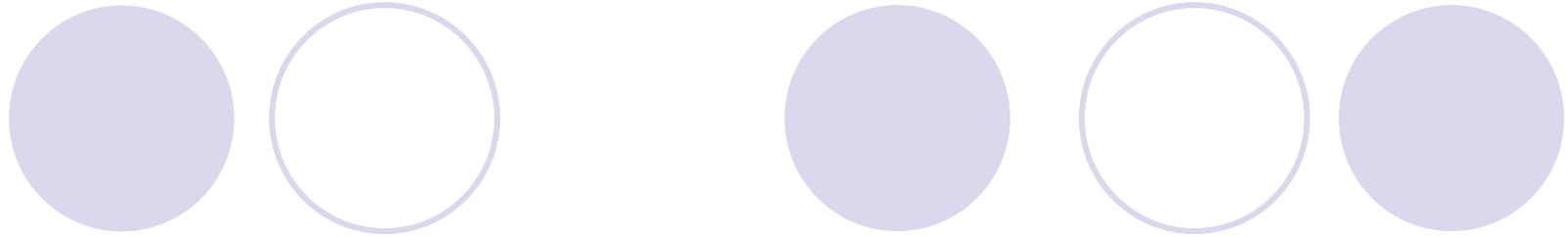
- may be furnished by professional or technical personnel, consultants, or other skilled or unskilled labor.
- Volunteer services may be counted as matching or cost sharing if they provide an integral and necessary part of an approved program or project and if payment for them would constitute an allowable cost if the recipient had to pay for them.



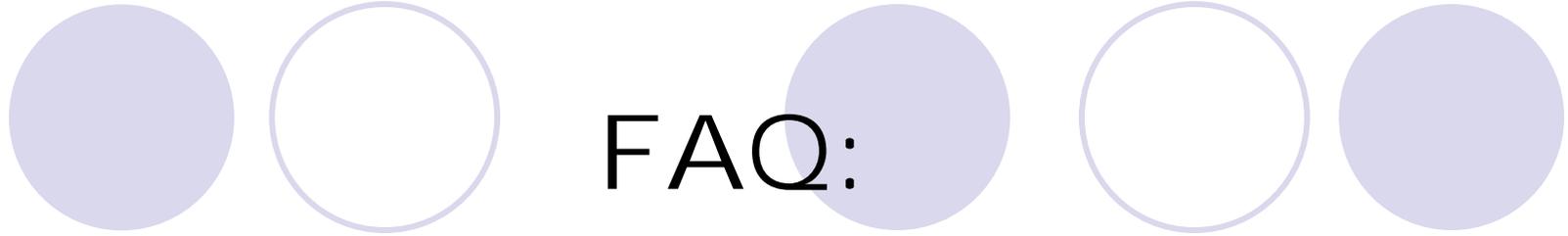
- Valuation of in-kind contributions:
  - Rates for volunteers must be consistent with established rates paid for similar work by the recipient or sub-recipient.
  - If the recipient or sub-recipient does not have employees performing similar work, rates used must be consistent with those paid for similar 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.



- Valuation of in-kind contributions (cont.):
  - 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.



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



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: Are services from federally funded people allowable cost sharing?

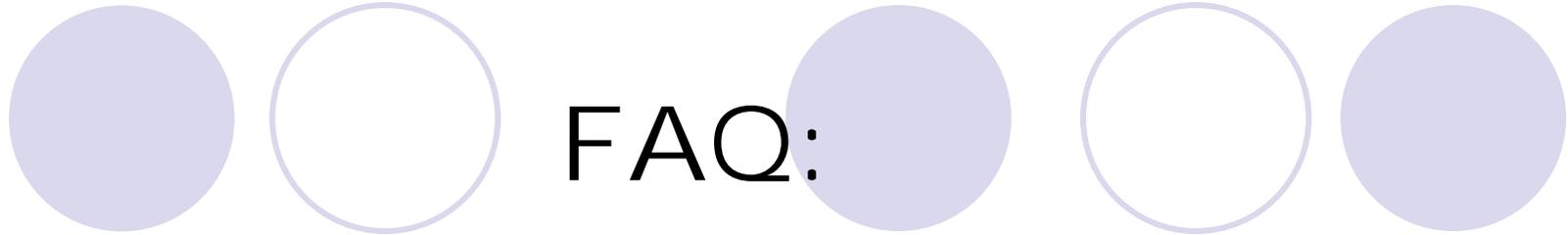
A: No, federal employees or volunteers funded by a federal funding stream (AmeriCorps VISTA) cannot be used to meet a cost sharing requirement.



## FAQ:

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.



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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