Agenda

• Introductions
• Understanding the Terms and Conditions (T&Cs) and the Notice of Award (NoA)
• HHS Standard Form (SF) 425
• Amendments
  – NCE vs carryover
• Scenarios
• QA
UNDERSTANDING THE TERMS AND CONDITIONS (T&CS) AND THE NOTICE OF AWARD (NOA)
Terms and Conditions

• Terms and Conditions are the rules that applicants must follow in order to be compliant with the terms of the grant.
• Examples of terms and conditions are as follows:
Understanding the NOA & Terms and Conditions

• Provides detailed information on the grant award including:
  – Date Issued (section 1)
  – Grant Number (section 4)
  – Project Period (section 6)
  – Budget Period (section 7)
  – Grantee (Section 9a) and Key Personnel (9b & 10a)
  – ACL Project Officer (Section 10b)
  – Approved Budget Breakout by Budget Category (Section 11)
Where to find Terms and conditions

II. Award Information

The Grantee will execute the responsibilities of the cooperative agreement as listed below:

1. Collaborate with ACL for any in-scope modifications and execution of the work plan, initially within 45 days of the award.
2. Evaluate the impact of overall project activities and ensure quality assurance systems are in place.
3. Share information with ACL, the SMP network, national, state, and local partner organizations, and other entities as appropriate.
4. Work with the ACL project officer to evaluate performance results reported semiannually and jointly develop strategies to address those areas requiring improvement.
5. Submit resumes of potential key staff hired as detailed under HHS grants prior approval requirements.
6. Budget for Center participation at the annual SMP/SHIP conference.

NOTICE OF AWARD (Continuation Sheet)

Page 2 of 3  Date Issued: 06/04/2015
Grant No.: 90M02016-01-00

STANDARD TERMS

1. STANDARD TERMS

   a. The SMP grant is funded under two separate funding streams: Title II and IV of the Older Americans Act (OAA) and the Health Care Fraud and Abuse Control Act (HCFAC) funds. Funds must be spent in a manner consistent with their authorized activities. The grantee is required to separately track the funds and their associated activities and costs. Throughout the project, the grantee must be able to account for activities and expenditures attributed to each of these funding portions.

   b. The authority for grants under this program/award are contained in Title II and Title IV of the Older Americans Act, (42 U.S.C. 3032), as amended by the Older Americans Act of 2006, P.L. 109-365, (Catalog of Federal Domestic Assistance 93.445), Title IV Discretionary Projects, and in HCFAC of 1996 (F. 06-191).

   c. SF 425 Reporting: The cash disbursement section of the SF 425 allows for a supplemental page to be attached. Given the two funding sources for this award, grantees are required to distinguish cash drawn from OAA funds and HCFAC funds on this supplemental page.

Grant History

<table>
<thead>
<tr>
<th>Application Number</th>
<th>Grant Number</th>
<th>Action Date</th>
<th>Project Period</th>
<th>Award Amount</th>
<th>Application Type</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td>1500800003</td>
<td></td>
<td>08/01/2017</td>
<td>06/01/2015 to 06/30/2018, 09/01/2017 to 08/31/2018</td>
<td>$1,565,450.00</td>
<td>Non-Competing Continuation</td>
<td>Awarded</td>
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<td>1500800004</td>
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<td>09/01/2018</td>
<td>06/01/2016 to 06/30/2019</td>
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<td>Post Award Assistance</td>
<td>Disapproved (Final Award)</td>
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<td>1500800005</td>
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<td>06/01/2019</td>
<td>06/01/2016 to 06/30/2019</td>
<td>$350,000.00</td>
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<td>1500800006</td>
<td></td>
<td>04/01/2017</td>
<td>06/01/2015 to 06/30/2018, 09/01/2017 to 08/31/2018</td>
<td>$320,000.00</td>
<td>New Application</td>
<td>Awarded</td>
</tr>
</tbody>
</table>

2018 SMP/SHIP
NATIONAL CONFERENCE
August 20–23 • Chicago, IL
### NOTICE OF AWARD

**AUTHORIZATION (Legislation/Regulations)**
42 USC 3001 et seq.

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**DATE ISSUED**: 12/18/2013  
**CFDA NO.**: S3.048  
**ASSISTANCE TYPE**: Cooperative Agreement

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**SUPERSEDES AWARD NOTICE** dated **09/26/2013**  
(except that any additions or restrictions previously imposed remain in effect unless specifically rescinded)

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**GRANT NO.**  
**Formerly**: 90SM0011-01-01  
**Newly assigned**: 90SM0011-01-01

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**PROJECT PERIOD**  
**From**: 09/01/2013  
**Through**: 02/28/2015

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**BUDGET PERIOD**  
**From**: 09/01/2013  
**Through**: 02/28/2015

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**TITLE OF PROJECT (OR PROGRAM)**  
**LGBT Older Adult Senior Medicare Patrol Integration Initiative**

---

**GRANTEE NAME AND ADDRESS**  
**Services & Advocacy for GLBT Elders (SAGE)**  
305 7th Ave  
New York, NY 10001-6008

---

**GRANTEE PROJECT DIRECTOR**  
**Hilary Meyer**  
3325 Wilshire Blvd  
Suite 1300  
Los Angeles, CA 90010-1729  
Phone: 323-577-4034

---

**FEDERAL PROJECT OFFICER**  
**Mr. Phillip J. McKoy**  
1 Massachusetts Ave  
Administration for Community Living  
Washington, DC 20201-0001  
Phone: 202-357-3525

---

**APPROVED BUDGET** (Excludes Direct Assistance)

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Wages</td>
<td>48,776.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>10,229.00</td>
</tr>
<tr>
<td>Total Personnel Costs</td>
<td>59,007.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>0.00</td>
</tr>
<tr>
<td>Supplies</td>
<td>0.00</td>
</tr>
<tr>
<td>Travel</td>
<td>980.00</td>
</tr>
<tr>
<td>Construction</td>
<td>0.00</td>
</tr>
<tr>
<td>Other</td>
<td>65,013.00</td>
</tr>
<tr>
<td>Contractual</td>
<td>25,000.00</td>
</tr>
<tr>
<td><strong>TOTAL DIRECT COSTS</strong></td>
<td><strong>150,000.00</strong></td>
</tr>
<tr>
<td>INDIRECT COSTS</td>
<td>0.00</td>
</tr>
<tr>
<td><strong>TOTAL APPROVED BUDGET</strong></td>
<td><strong>150,000.00</strong></td>
</tr>
</tbody>
</table>

---

**AWARD COMPUTATION**  
(Supplemental to the availability of funds and satisfactory progress of the project):

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>a. 2</td>
</tr>
<tr>
<td>3</td>
<td>b. 3</td>
</tr>
<tr>
<td>4</td>
<td>c. 4</td>
</tr>
<tr>
<td>5</td>
<td>d. 5</td>
</tr>
<tr>
<td>6</td>
<td>e. 6</td>
</tr>
<tr>
<td>7</td>
<td>f. 7</td>
</tr>
</tbody>
</table>

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15. **PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. **DEDUCTION**
   - a. The grant program legislation
   - b. Additional Costs
   - c. Matching
   - d. Other Research (Add/Deduct Option)
   - e. Other (See Remarks)

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16. **THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:**

---

**Federal Share**: 150,000.00  
**Non-Federal Share**: 0.00
Notice of Award: Helpful Information

- Date Issued
- Grant Number
- Project Period
- Budget Period
Key Personnel

**Note:** Only these two individuals will be sent official notices on the grant award. Be sure that whomever your agency designates is going to be responsive to these messages from ACL.

<table>
<thead>
<tr>
<th>GRANTEE NAME AND ADDRESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Services &amp; Advocacy for GLBT Elders (SAGE)</td>
</tr>
<tr>
<td>305 7th Ave</td>
</tr>
<tr>
<td>New York, NY 10001-6008</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>GRANTEE PROJECT DIRECTOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hillary Meyer</td>
</tr>
<tr>
<td>3325 Wilshire Blvd Ste 1300</td>
</tr>
<tr>
<td>Suite 1300</td>
</tr>
<tr>
<td>Los Angeles, CA 90010-1729</td>
</tr>
<tr>
<td>Phone: 323-577-4034</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>GRANTEE AUTHORIZING OFFICIAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr. Scott French</td>
</tr>
<tr>
<td>305 7th Ave Fl 15</td>
</tr>
<tr>
<td>New York, NY 10001-6152</td>
</tr>
<tr>
<td>Phone: 2127412247</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FEDERAL PROJECT OFFICER</th>
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</thead>
<tbody>
<tr>
<td>Mr. Phillip J McCoy</td>
</tr>
<tr>
<td>1 Massachusetts Ave</td>
</tr>
<tr>
<td>Administration for Community Living</td>
</tr>
<tr>
<td>Washington, DC 20201-0001</td>
</tr>
<tr>
<td>Phone: 202-367-3525</td>
</tr>
</tbody>
</table>

- **Authorizing Official/Representative (AOR):**
  - This is the person that has the authority to commit the agency to the award/funding and the conditions attached to it.
  - Designated by the grantee – this is not an ACL decision.

- **Principle Investigator/Project Director (PI/PD):**
  - This should be the person responsible for managing the grant.
### Key Personnel

#### 9a. GRANTEE NAME AND ADDRESS
Services & Advocacy for GLBT Elders (SAGE)
305 7th Ave
New York, NY 10001-6008

#### 9b. GRANTEE PROJECT DIRECTOR
Hilary Meyer
3325 Wilshire Blvd Ste 1300
Suite 1300
Los Angeles, CA 90010-1729
Phone: 323-577-4034

#### 10a. GRANTEE AUTHORIZING OFFICIAL
Mr. Scott French
305 7th Ave Fl 15
New York, NY 10001-6152
Phone: 2127412247

#### 10b. FEDERAL PROJECT OFFICER
Mr. Phillip J McKoy
1 Massachusetts Ave
Administration for Community Living
Washington, DC 20201-0001
Phone: 202-357-3525
### Approved Budget

<table>
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<tr>
<td>Indirect Costs</td>
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<td><strong>Total Approved Budget</strong></td>
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</tbody>
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<tr>
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<th>Amount</th>
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<tbody>
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<td>150,000.00</td>
</tr>
<tr>
<td>Non-Federal Share</td>
<td>0.00</td>
</tr>
</tbody>
</table>
Examples of Terms and Conditions

- Standard terms and conditions
  - Cooperative agreement
  - Administrative Terms
  - Salary Limitation (includes provisions for a salary rate limitation. The law limits the salary amount that maybe awarded and charged to ACL grants and cooperative agreements.)
  - DOMA: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages
  - Federal Awardee Performance and Integrity Information System (FAPIIS)
- Reporting Requirements
- Collaborate with ACL for any in-scope modifications and execution of the work plan, initially within 45 days of the award.
- Evaluate the impact of overall project activities and ensure quality assurance systems are in place.
- Restrictive terms and conditions (when a grantee scores below a 70 on applications)
HHS STANDARD FORM (SF) 425 AND
HHS GRANTS POLICY
Purpose of the Federal Financial Report (SF-425)

• Compliance with 45 CFR 75.302 Financial management and standards for financial management systems
• SF-425 provides a standard format for reporting the financial status of grant awards
• Grant Recipients are required by the Terms and Conditions located on the Notice of Award (NoA) to submit financial reports
Required documents to Complete SF-425

- Non-Federal entity’s Financial Management System
- Notice of Award (NoA)
- OMB approved SF-425 with expiration date

www.acl.gov/grants/managing-grant

www.grants.gov/web/grants/forms
Completing SF-425

- **Box 2 Grant Identifying Number** - Enter the grant number assigned to the award by the Federal agency.

- **Box 10d Total Federal Funds Authorized** - Enter the total Federal funds authorized as of the reporting period end date.

- **Box 10e Federal Share Expenditures** - Enter the amount of Federal fund expenditures.

- **Box 10f Federal Share of Unliquidated Obligations** - Unliquidated obligations on a cash basis are obligations incurred, but not yet paid.

- **Box 10g Total Federal Share** - Enter the sum of Lines 10e and 10f.

- **Box 10h Unobligated Balance of Federal Funds** - Enter the amount of Line 10d minus Line 10g.
Indirect Expense

- **Box 11a Type** - State whether indirect cost rate(s) is Provisional, Predetermined, Final, or Fixed.
- **Box 11b Rate** - Enter the indirect cost rate(s) in effect during the reporting period.
- **Box 11c Period from and from** - Enter the beginning and ending effective dates for the rate(s).
- **Box 11d Base** - Enter the amount of the base against which the rate(s) was applied.
- **Box 11e Amount Charged** - Enter the amount of indirect costs charged during the time period specified. (Multiply 11b. x 11d.)
- **Box 11f Federal Share** - Enter the Federal share of the amount in 11e.
- **Box 11g Totals** - Enter the totals for columns 11d, 11e, and 11f.
Reconciling SF-425 with PMS

• When completing the semi-annual, annual or Final SF-425, recipients must reconcile the amount in box 10g with the reported amount on the quarterly Federal Cash Transaction report filed within the Payment Management System (PMS).

https://pms.psc.gov/resources_and_training/fctroview.html
AMENDMENTS
Amendments

• Amendments = Prior Approvals Requests
  – Grantees must receive ACL’s approval prior to making the change.
  – Result in the revision of a Notice of Award (NoA).
  – Must be submitted via GrantSolutions
Common Amendments

- Budget Revision
- Carryover Request
- Change in Key Personnel
  - Authorized Organizational Representative (AOR) or Project Director (PI/PD)
- Change in Grantee Address
- Change in Institution Name or EIN (Not Both)
- Change in Scope
- **No Cost Extension**
- Transfer of Award (Closeout current award, Award to New)
Carryover of Funds

• A carryover is forwarding an unobligated balance from current budget year to cover allowable costs in a future budget year.
• A carryover must be requested in support of activities aligned with a grantee’s existing project goals and objectives to cover costs not already incurred by the recipient.
• If funds have been obligated but not yet expended i.e., funds not drawn down from PMS to liquidate expenses already incurred, then a carryover request is not required to complete those transactions.
• Carryover can be requested anytime during the grant period.
1. A request letter which includes the following information:
   a. Total amount of un obligationd funds requested to carryover;
   b. An explanation of why the carryover is needed, including the reason for having unobligated funds from the prior budget year;
   c. A cost break-down/narrative for each activity and budget category requiring the carryover of funds
   d. A revised budget worksheet (OMB SF-424A, Budget Information), which should include the following information:
      • The unobligated amount for each line item being carried over

2. The Federal Financial Report (SF-425) for the fiscal year that has the unobligated balance of federal funds.
No Cost Extension

- A no-cost extension allows grantees additional time to complete activities not already incurred by the recipient and aligned with a grantee’s existing project goals and objectives.
- Must be submitted at least 30 days prior to the end of the grant.
- If not submitted within 30 days before the award expiration, a corrective action plan (CAP) should be included with the other information. It should describe the plan to improve management tasks, i.e. timely requests.
No Cost Extension Required Documents

1. A cover letter that includes:
   a. Grant Award number
   b. Specific proposed end date, e.g., to July 31, 20XX (not the 
   # of months).
   c. Written justification that:
      • Explains why the work has not been completed
      • Includes a detailed revised work plan (work plans are currently 
        not required for SHIPs)

2. Recent SF-425 (may accompany the request or uploaded in 
   Notes)

3. Revised budget – Only if there are significant modifications to 
   the budget (explained on next slide)
Other Amendments

**Significant Rebudgeting (Budget Modification) Required Documents**

Applicable if there are modifications to the budget exceeding 25% of the total project budget or a new budget category is being added.

1. SF 424A outlining new category amounts resulting from proposed revision
2. Budget narrative explaining how each of the budget line items you plan to change will increase and/or decrease.

**Change in Key personnel Required Documents**

1. Request letter from AOR or PI/PD including contact information (email, mailing address, telephone) of new personnel
2. Resume or curriculum vitae (CV) for incoming key personnel
Submitting an Amendment to ACL

• All amendment requests must be submitted use GrantSolutions (GS)
  – Use the Manage Amendments feature in GS
    1. Start a new amendment by clicking “New”
    2. Select the type of amendment you are creating
    3. Upload all required documents
    4. Click Verify Submission
    5. Click Final Submission
Submitting an Amendment to ACL

Be sure to select “Manage Amendments” and not “Grant Notes”
Submitting an Amendment to ACL

Indicates amendment has been submitted and is currently under review at ACL
Submitting an Amendment to ACL

• ACL has GS video training on our website here: https://www.acl.gov/grants/managing-grant

• ACL strives to provide a response to a grantee’s request within 30 days of submission.
  – If any revisions are needed on an amendment ACL will typically return the amendment to the grantee for editing and resubmission.
Scenarios
Promotional Items
• Grantee conducted a presentation with a partner to discuss Medicare. There was also someone to speak on VA benefits and Long term Care. Grantee assumed they would be speaking to residents of that facility. When grantee got there they found out it was actually marketed to the public (current residents were not invited) and it seemed very focused on why people should be looking at moving into that facility.

Should grantees be avoiding events like this where it might appear that partners are pushing a specific residential facility? The gentleman who spoke about VA Aid and Assistance is actually a financial advisor, but he does the VA counseling on a volunteer basis

– In general, grantees should avoid doing anything that makes it look like they are promoting another business. However, in this instance because the grantee provided unbiased opinions they did not compromise the program or themselves.
“In March, we purchased a flight (cost = $560.59) for a staff member to the upcoming Austin conference. The staff member left in June 12, 2017. No refund is available for the flight, but we have been issued a credit ($560.59) for it with a rebooking fee ($200.00) (which may or may not be used for SMP travel due to time restrictions). The flight expense was previously charged to our SMP grant that ended May 31, 2017. Please let us know if we need to take some type of corrective action with respect to this expense.”

The credit issued falls under the definition of an “Applicable Credit”. Applicable Credits must be credited to the Federal award either as a cost reduction or cash refund, as appropriate; in the case of this credit, it would be credited as a cost reduction, since it is not a cash refund. However, since the credit received can be used towards the cost of the flight referenced below, it should then be used for the cost of this travel.
QUESTIONS?
Contact Information

Barbara McCoy
Barbara.McCoy@acl.hhs.gov
Phil McKoy
Phillip.McKoy@acl.hhs.gov
Sara Vogler
Sara.Vogler@acl.hhs.gov