

# **GENERAL APPLICATION INFORMATION AND GUIDELINES**

## **GRANT APPLICATION AND AWARD**

### **Introduction**

The Area Agency on Aging for Lincolnland is accepting applications for services to be funded by Title III of the Older Americans Act and Illinois General Revenue Funds for Fiscal Year 2011, beginning October 1, 2011, and concluding September 30, 2012. All budgets and program descriptions should cover the twelve-month time period.

Successful applicants may be offered the opportunity to extend their grant awards, on a non-competitive basis, through one or two additional fiscal years. An offer to extend funding will be based on performance, compliance with standards, a satisfactory audit, and other factors which may be deemed pertinent.

The Area Agency on Aging for Lincolnland is a planning and service agency designated by the Illinois Department on Aging to develop programs and support services for persons 60 years and older and family caregivers. The Area Agency covers Planning and Service Area 07, which comprises Cass, Christian, Greene, Jersey, Logan, Macoupin, Mason, Menard, Montgomery, Morgan, Sangamon, and Scott counties. The Area Agency on Aging for Lincolnland is one of more than 625 Area Agencies across the nation and thirteen in Illinois.

The Area Agency on Aging for Lincolnland's purpose is to help older adults live and age well. As an area-wide focal point for the aging network, the Area Agency works to create an awareness of aging and caregiving issues and encourages the development and coordination of services to address those issues. The Area Agency on Aging for Lincolnland is dedicated to helping older adults maintain dignity, health, and independent living in their own homes for as long as possible.

The Area Agency on Aging is a private not-for-profit organization governed by a Board of Directors and assisted by an Advisory Council whose members reside throughout the twelve-county area.

With state and federal funding received through the Illinois Department on Aging, the Area Agency on Aging for Lincolnland awards grants and contracts to local service providers for a variety of services. Funded services include Routine Health Screening, Transportation, Congregate and Home Delivered Meals, Information and Assistance, In-Home Respite, Caregiver Counseling, Caregiver Access and Assistance, Legal Assistance, Long Term Care Ombudsman, and Medication Management. Most of these services are available in each of the twelve counties served by the Area Agency.

## **Purposes and Objectives of Grants**

Grants awarded by Area Agency on Aging for Lincolnland are the primary means by which the service goals, objectives and priorities stated in the Area Agency's Area Plan are implemented. Through these grants, Area Agency on Aging for Lincolnland allocates its resources to meet the service needs of older adults and family caregivers who reside in the Area Agency on Aging for Lincolnland's planning and service area. The specific grant award decisions made by the Area Agency on Aging for Lincolnland are aimed at assuring that a comprehensive, coordinated service system is in place. Area Agency on Aging for Lincolnland attempts to allocate resources so that a range of services is provided to those who are in the greatest need, economically and/or socially.

The current Public Information Document, which provides a summary of the Area Plan, may be found on the Area Agency's webpage: [www.aginglinc.org](http://www.aginglinc.org).

## **Availability and Distribution of Funds**

Funding for grants from Area Agency on Aging for Lincolnland is subject to the availability of funds at the Area Agency.

Organizations which have submitted a Letter of Intent by the date and time due have been sent an Application Packet. The Packet is accompanied by a letter indicating the amount of funds allocated for the particular service in each county for which the organization has submitted a Letter of Intent expressing interest in providing services. A chart of allocations by county for all services to be funded may be found on the Area Agency website: [www.aginglinc.org](http://www.aginglinc.org)

## **Considerations for Applicants**

Organizations interested in obtaining funds from Area Agency on Aging for Lincolnland are advised to consider the following:

- Area Agency on Aging for Lincolnland does not pay for any costs an applicant may incur in preparing an application;
- Area Agency on Aging for Lincolnland reserves the right to negotiate with successful applicants in order to improve the quality of the application;
- Area Agency on Aging for Lincolnland is not obligated to make any awards based upon a solicitation of applications;
- All awards made are contingent upon the availability of revenues received from the funding sources of Area Agency on Aging for Lincolnland;
- The Board of Directors of the Area Agency on Aging has the right to reject any or all applications.

## **Individuals Eligible to Receive Service**

Each subgrantee is to establish and follow methods to assure that services are provided only to those individuals defined as eligible service recipients in the Older Americans Act of 1965, as amended. In general, eligible individuals are persons who are 60 years of age or older or caregivers of persons 60 years of age or older. Also eligible are persons under 60 who are caregivers for persons with Alzheimer's disease or related disorders and grandparents or relative caregivers 55 years or older providing primary care for a child 18 or younger or an adult child with a disability. No requirements as to duration of residence or citizenship may be imposed as a condition of participation.

## **Opportunity to Contribute**

No fee may be charged for services provided with funding through the Area Agency on Aging. Each subgrantee will provide the opportunity for participants to contribute to all or part of the costs of services provided under the grant. Each participant must be allowed to determine the amount of contribution to be made, and no person will be denied service because of a failure to contribute. Each subgrantee will further provide a method of contribution which allows for the confidentiality of any individual contribution.

## **Service Targeting**

The services for which a subgrantee receives funds from Area Agency on Aging for Lincolnland are to be targeted to eligible individuals within the subgrantee's service area who are in greatest economic or social need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas). The subgrantee will maintain written procedures which outline the methods by which this targeting will be accomplished. The service records maintained by the subgrantee must support the degree to which services have been targeted. Priority in service delivery will be given to persons age 60 or older who are frail, homebound by reason of illness or incapacitating disability, or otherwise isolated. The subgrantee will also attempt to target service to at least one and one-half times the percentage of low-income minority older individuals as that population occurs in the geographic area of service.

## **Geographic Area to be Served**

In the Letter of Intent to apply for funding, applicants specified the county or counties they intend to propose to serve. The Area Agency on Aging for Lincolnland reserves the right to negotiate with applicants to add adjoining counties, or parts of counties, to the proposed service area in cases where no Letter of Intent has been received that includes that county. When a Letter of Intent is received stating that the applicant proposes to include a county in a multi-county service area, and another agency's Letter of Intent indicates an intent to provide the same service in the same county (either singly or as part of a multi-county area), the Area Agency on

Aging may require competing applicants to submit separate applications for each county they propose to serve.

### **Services to be Funded**

In Fiscal Year 2012, the Area Agency intends to fund the services listed below. Definitions of units of service and allowable activities are included elsewhere in the application packet. With the exception of Title III-D services, funding has been allocated for each service in each of the Area Agency's twelve counties. Due to limited funds, the stated allocation indicates the amount available within the entire twelve-county area, and applicants for Title III-D funds may apply for the amount needed for the proposed service. Allocations may be found on the Area Agency's website: [www.aginglinc.org](http://www.aginglinc.org)

For 2012, all services except Transportation and Nutrition will be procured competitively. With the competitive procurement for FY 2010, the Area Agency on Aging began a staggered grant cycle in the Planning and Service Area. This means that not all services will share the same three year grant cycle, which includes a competitive application year followed by two years of possible grant extensions without competition.

Procurement of Transportation and Nutrition (Congregate and Home Delivered Meals) will follow the procedures for extension of grant award and likely will not be open for competitive applications for FY 2012.

#### Title III-B

- Legal Assistance
- Transportation
- Information and Assistance

#### Title III-C

- Congregate Meals
- Home Delivered Meals

#### Title III-D

- Routine Health Screening
- Medication Management Screening

#### Title III-E

- Access Assistance
- Counseling
- Legal Assistance
- In Home Respite

## **Other Services**

In addition to its responsibilities for the administration of Older Americans Act funds, the Area Agency on Aging is responsible for the procurement of Elder Abuse and Neglect Program and Regional Long Term Care Ombudsman Program providers. The grant cycle for those services allows for possible extension through up to five additional years. Not all of the information in this document is relevant to these two programs.

## **Preferences for Applicants**

The Area Agency on Aging will give preference to applications which include a commitment to:

- Have a toll-free number for individuals to use to request or discuss service.
- Distribute a locally developed brochure that includes the service for which they are applying.
- Maintain a website that includes information about the proposed service.

Additional preferences for specific services may be noted in the application. Applicants are encouraged to meet these preferences, but doing so is not required.

## **Application Submittal Requirements**

The date on which applications are due is specified in the Application Packet. Area Agency on Aging for Lincolnland does not accept applications which are received after the specified due date and time. However, if the Area Agency on Aging determines that it is in the best interest of the target population to consider an application which was received after the due date, it may do so.

Four copies, two with original signatures, of each application must be received by Area Agency on Aging for Lincolnland by 5:00 p.m. on April 20, 2011. Applications must be submitted in the format provided and must be fastened with a binder clip or held together with a rubber band. Applications are not to be bound or stapled or submitted in report covers. Applicants that submit applications that are stapled, bound, or submitted in a report cover will be notified immediately and requested to resubmit the application within 5 working days. Applications must be submitted in a sealed envelope. If more than one envelope is required, number each as shown in the following example: 1 of 3, 2 of 3, and 3 of 3.

## **Overview of the Application and Award Decision Process**

The basic priorities which will guide the grant award decisions made by Area Agency on Aging for Lincolnland are established pursuant to an assessment of the service needs of the older adults and family caregivers who reside in the geographic area served by Area Agency on Aging for Lincolnland. An assessment of service needs is conducted periodically, usually in conjunction with preparation for the first year of the Area Plan. The service priorities identified through this process are reviewed and approved by the Advisory Council and Board of Directors of Area Agency on Aging for Lincolnland annually.

Each application is reviewed by two qualified staff members using the Scoring Tool included in the application packet. Preliminary funding recommendations are reviewed by the Project Review Committee prior to presentation to the Advisory Council and Board of Directors. All applicants are notified in writing of the action of the Board of Directors. Final recommendations are presented to both the Advisory Council and Board of Directors, usually at their August meetings. Notification of Grant Award documents are prepared thereafter and distributed to successful applicants by the end of September or when the Area Agency on Aging receives its Award from the Illinois Department on Aging.

## **Special Provisions for Directed Solicitation**

Notwithstanding the process summarized above, Area Agency on Aging for Lincolnland may from time to time enter into specific negotiations with selected agencies, or otherwise assess the interest of certain agencies in expanding services. Typically, this occurs during the course of a fiscal year when new or greater service needs are identified and additional funding exists, when funds become available during a fiscal year due to the discontinuation of operations for any reason by an existing subgrantee, or when new or supplemental allocations become available to Area Agency on Aging for Lincolnland. It may also occur when no acceptable application for a specified service has been received.

In determining the agency(ies) with which Area Agency on Aging for Lincolnland wishes to negotiate in such cases, Area Agency on Aging for Lincolnland will consider the agency's past performance related to service provision, the agency's capacity to provide additional or new services, and other factors which Area Agency on Aging for Lincolnland deems pertinent to the specific circumstances at hand.

## **Required Assurances**

Each eligible organization wishing to submit an application for funding is required to agree to certain assurances before its application will be considered by Area Agency on Aging for Lincolnland. These Standard Assurances of Compliance are found within the grant application.

Applications which do not include signed assurances will not be reviewed.

## **Minimum Matching Requirements**

Grant funds made available by Area Agency on Aging for Lincolnland are required to be matched at a minimum fixed rate with local resources.

Each Area Agency on Aging for Lincolnland applicant must agree to provide local resources in support of the Area Agency on Aging for Lincolnland grant-funded service or program which are not less than 10 percent of the net cost of the program. The net cost is the total of the grant funds and the local match. These local resources may be in the form of local cash or in-kind contributions. Area Agency on Aging for Lincolnland encourages the use of local cash to meet matching requirements as an indication of community support for the proposed program or activity.

It is expected that the local resources designated for the program will be available throughout the duration of the grant period and that they will be sufficient to demonstrate that the minimum match requirements are met on a monthly basis. Area Agency funds are “earned” in proportion to local match provided, up to the maximum stated in the grant award.

Further discussion of Local Match may be found in the Application Instructions.

## **General Principles and Guidelines for Determining Allowable Costs**

All costs incurred by a subgrantee and claimed as expenditures related to a grant from Area Agency on Aging for Lincolnland must meet the general cost principles and guidelines which follow:

- be necessary to achieve the purposes for which Area Agency on Aging for Lincolnland is awarding grant funds;
- be reasonable to perform the activities under the grant, and allocated to the specific grant program in the same proportion as benefits under the grant are received;
- be allowable as determined by good accounting practice, and the specific cost principles and guidelines established by the State and Federal governments;
- be expended only to further the purposes for which the grant from Area Agency on Aging for Lincolnland is requested;
- be accorded consistent treatment, and in conformance with the written fiscal and accounting policies established by the grantee;
- be supported by complete and adequate documentation.

## **Notification of Grant Award (NGA)**

The NGA is the primary instrument by which Area Agency on Aging for Lincolnland makes formal the decision of the Board of Directors to award funds to a successful applicant. In some circumstances, the Area Agency on Aging may award funds through a contract or cooperative agreement.

The NGA binds the subgrantee to operate the program for which grant funds are provided in accordance with applicable laws and regulations, the approved application, and required assurances. It sets forth the term for which funds are provided, the maximum amount of funds to be provided by Area Agency on Aging for Lincolnland and the local share of total program costs which will be contributed by the subgrantee, as well as the proposed number of persons to be served and the number of units of service to be provided. It is the NGA which formalizes the subgrantee's status as part of the network of organizations and agencies providing services to older individuals.

### **Requirements and Limitations Imposed by the NGA**

By incorporating the approved application completed by the subgrantee, the NGA requires the subgrantee to administer the grant in accordance with the approved application. This requirement extends to the assurances which each applicant must make as part of the application process. Just as the successful applicant expects to receive the approved amount of funding from the Area Agency, the Area Agency expects that the subgrantee will provide the quality and quantity of service promised in its application for funding.

The subgrantee is responsible for assuring that all costs associated with activity made possible with grant funds from Area Agency on Aging for Lincolnland are allowable under the terms and conditions of the NGA and application for funding, are properly accounted for, and are incurred solely for the purposes for which the grant was made available by Area Agency on Aging for Lincolnland.

In addition, the NGA requires:

- the subgrantee to comply with all Federal, State and Area Agency on Aging for Lincolnland rule, regulations and policies
- that proposed revisions to the fiscal or program components of the subgrant are approved by Area Agency on Aging for Lincolnland prior to becoming effective;
- a specific local matching rate to be contributed by the subgrantee, and places a ceiling on funds to be provided by Area Agency on Aging for Lincolnland;
- a 30 day written notice requirement for termination of the subgrant without cause by either party.

The NGA limits the subgrantee's grant-related activity to that which is consistent with the terms of the approved application, and which takes place during the period of time established as the grant period in the NGA. In addition, the NGA makes funding under the terms of the grant

contingent upon the availability of such funds from the Federal and State funding sources of Area Agency on Aging for Lincolnland and permits Area Agency on Aging for Lincolnland to withdraw, reduce, reallocate, or suspend funds in the event of subgrantee underspending or non-compliance with applicable program, administrative or fiscal requirements.

All costs allocated to a grant from Area Agency on Aging for Lincolnland shall have been approved as part of the application for funds process and the ensuing NGA.

### **Effective Date of the NGA**

The NGA becomes effective on the beginning date set forth on page 1 of the NGA and will cease not later than the ending date specified in the same section. Funding will not commence until the NGA has been signed and dated by both parties.

### **Right to a Hearing**

Any unsuccessful applicant for funds may request a hearing in order to appeal the decision. In order to initiate a hearing, an applicant must, within 10 calendar days after receiving notice from Area Agency on Aging for Lincolnland that their application was not funded, file a written request which includes the following: the name of the applicant; the reason for the appeal; and a brief summary of the facts supporting the issues raised.

All requests for hearing must be submitted by certified mail, return receipt requested, to:

Executive Director  
Area Agency on Aging for Lincolnland, Inc.  
3100 Montvale Drive  
Springfield, Illinois 62704

Following receipt of a written request for hearing which meets the requirements specified above, Area Agency on Aging for Lincolnland will provide the applicant with specific information concerning the scheduling, conduct, and other procedures related to the hearing. This information will be provided to the appealing applicant not later than 10 calendar days after the request for hearing has been received by Area Agency on Aging for Lincolnland.

## **PROGRAM OPERATIONS**

### **Introduction**

It is incumbent upon Area Agency on Aging for Lincolnland, as a recipient of grant funds made available under the Older Americans Act, to assure that the programs and service projects funded in its geographic area of responsibility are operated in an effective and efficient fashion, and in

compliance with governing statutes and regulations. Listed in this section are some of the requirements of successful applicants.

### **Reports of Abuse, Neglect & Financial Exploitation**

Any Area Agency on Aging or Older Americans Act service provider who suspects the abuse, neglect, or financial exploitation of an eligible adult **MUST** report this suspicion to an agency designated to receive such reports under the Elder Abuse and Neglect Act or to the Department on Aging.

In carrying out their professional duties, Area Agencies on Aging and Older Americans Act service providers are mandated reporters, if they have reason to believe that an eligible adult, who because of dysfunction is unable to seek assistance for himself or herself, has, within the previous 12 months, been subjected to abuse, neglect, or financial exploitation.

### **General Record Keeping Capabilities**

Effective with the beginning date specified in the NGA, the subgrantee is to maintain complete and comprehensive records regarding the activity authorized by each NGA. Appropriate records supporting both the financial and client service aspects of funded programs and services are to be kept by the subgrantee.

### **Access to Project-Related Information and Records**

Area Agency on Aging for Lincolnland, and duly authorized State and Federal entities, are to be permitted immediate access to any and all financial, service, or other records which pertain to the activities authorized pursuant to any NGA. This access to records and information extends to any subcontractor which may be utilized by the subgrantee to provide the services authorized in the NGA.

### **Reporting Requirements**

Full and complete reporting by subgrantees regarding grant-related activities is essential for the proper administration of programs by Area Agency on Aging for Lincolnland. Timely and accurate reporting by subgrantees is integral to the ability of Area Agency on Aging for Lincolnland to fulfill its own obligations for reporting and accountability to the State and Federal governments.

All Area Agency on Aging for Lincolnland subgrantees are required to submit periodic fiscal and program performance reports in the manner and form prescribed by Area Agency on Aging for Lincolnland. Reports are to be submitted not less frequently than monthly, or at other times designated by Area Agency on Aging for Lincolnland.

The Area Agency on Aging uses the NapisPak Internet based data collection system. Information is aggregated and forwarded to the Illinois Department on Aging and then to the Administration on Aging. Subgrantees are required to enter data into NapisPak on a current basis.

### **Revisions to Approved Application**

Any change in program operations related to the budget, to the design of the program, or to the projected number of units or persons to be served, which deviates from the approved grant application requires prior written approval by Area Agency on Aging for Lincolnland. Changes approved by Area Agency on Aging for Lincolnland will result in a revision of the grant application and/or the Notification of Grant Award. In urgent situations, prior written approval may be given by letter in order to make the change effective prior to formal revision of the grant application and/or Notification of Grant Award.

Generally, requests to revise approved grants will be accepted on March 1, and will be processed so that the anticipated effective date of the revision will be April 1. Forms and instructions will be provided to approved applicants at the beginning of the Fiscal Year.

Situations which may require immediate revision of the NGA will be handled on an individual basis by Area Agency on Aging for Lincolnland. A subgrantee wishing to make an unscheduled revision to the NGA must receive approval from Area Agency on Aging for Lincolnland prior to submitting the Budget Revision. Instructions regarding submission will be issued by Area Agency on Aging for Lincolnland in discussions with the subgrantee regarding the need for immediate revision. It is the Area Agency's practice not to accept Budget Revisions after June 1<sup>st</sup>. Any revisions submitted after this date will be reviewed at the discretion of the Area Agency.

### **Performance Management System**

The Area Agency on Aging's Performance Management System is a formalized mechanism for monitoring the performance level of the subgrantee in regard to service provision. A projection of units to be provided during a fiscal year is made by the subgrantee in the grant application. The Area Agency on Aging funds the subgrantee with the expectation that the level of service proposed in the approved application will be provided. A satisfactory performance level is a minimum of 85% of the year-to-date projected units.

The Area Agency on Aging Field Coordinators will work with the subgrantee falling below the 85% level to provide assistance and support related to performance improvement. If the subgrantee's performance remains below the acceptable level, year-end adjustments to subgrantee reimbursements are required. Reimbursement will be proportionate to the units of service provided.

Any change to the projected number of units or persons to be served which deviates from the approved grant application requires prior written approval by Area Agency on Aging for Lincolnland. Justification for the change must include a discussion of the specific circumstances which necessitate the change.

### **Disbursement of Grant Funds by Area Agency on Aging for Lincolnland**

Funds are disbursed to subgrantees based upon the reasonable cash needs of each grant as determined by Area Agency on Aging for Lincolnland. Due to limitations and restrictions concerning cash-on-hand imposed by Federal and State funding sources, Area Agency on Aging for Lincolnland staff monitor subgrantee cash-on-hand carefully. In general, Area Agency on Aging for Lincolnland disburses only that amount necessary to assure that sufficient cash is available to the subgrantee to operate programs and services until the next anticipated disbursement date.

### **ADDITIONAL INFORMATION**

The following resources will provide additional information. Links to these resources are available on the Area Agency's website: [www.aginglinc.org](http://www.aginglinc.org)

OMB Circular A-87, Cost Principles for State and Local Governments

OMB Circular A-122, Cost Principles for Non-profit organizations

OMB Circular A-102, Uniform Requirements for Grants to State and Local Governments

OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations

45 CFR, Part 74 (Administration of Grants)

Older Americans Act of 1965, as amended