FY 2017 Formula Grant Work Plan and Budget Update (WPBU)
Activity Code: X10

Maternal, Infant and Early Childhood Home Visiting (MIECHV) Program
Division of Home Visiting and Early Childhood Systems
Maternal and Child Health Bureau
Health Resources and Services Administration

May 4, 2017
Introductions

**Division of Home Visiting and Early Childhood Systems (DHVECS)**
David W. Willis, MD, FAAP, Division Director
Cindy Phillips, MSW, MPH, Deputy Director
Sabrina Chapple, Team Lead for Regions III, VII, VIII
Amanda Innes Dominguez, Team Lead for Policy and Technical Assistance
Susan Marsiglia Gray, Team Lead for Regions I, IX, X
Marilyn Stephenson, Team Lead for Regions II, IV, V, VI
Jamie Weng, Project Officer for Region II

**Division of Grants Management Operations**
Mickey Reynolds, Grants Management Specialist
Shonda Gosnell, Branch Chief
Technical Logistics

• Listen-only option is available through the teleconference line.
• Phone lines will be muted during the presentation.
• After the presentation, phone lines will be open for questions.
• Recorded webinars will be sent via the recipient listserv and will be accessible on the MIECHV website.
Agenda

• A Message from Leadership
• Program Overview
• FY 2017 Formula Grant - Work Plan and Budget Update (WPBU)
• Electronic Handbooks (EHB) Submission Process
• Questions and Answers
A Message from Leadership

• $343 million in FY 2017 formula funding
• Continue stability
• Streamline burden
• FY 2016 data released
Statutory Authority

• Social Security Act, Title V, § 511(c) (42 U.S.C. § 711(c))
• Medicare Access and CHIP Reauthorization Act of 2015
Program Goals

• Strengthen and improve the programs and activities carried out under Title V of the Social Security Act

• Improve coordination of services for at risk communities

• Identify and provide comprehensive services to improve outcomes for eligible families who reside in at risk communities
FY 2017 Formula Grants

- Funding: Approximately $343 million
- Anticipated: 56 awards
- Eligible applicants: FY 2016 MIECHV recipients (grantees or awardees)
- Grant award ceilings for recipient request: same as FY 2016 grant award ceiling minus 0.8%
- Project period: September 30, 2017 – September 30, 2019 (2 years)
- Due Date: June 12, 2017 at 11:59 p.m. Eastern Time
Program Requirements

- Priority for serving high-risk populations
- Selection of a home visiting service delivery model
- Fidelity to a home visiting service delivery model
- Model enhancements
- Limit of funds to support direct medical, dental, mental health, or legal services
- Limitation on use of funds for recipient-level infrastructure expenditures
- Enrollment
- State-led evaluation – Promising Approaches

- State-led evaluation – Evaluation of other recipient activities
- Collaboration with early childhood partners and early childhood system coordination
- High quality supervision
- Subrecipient monitoring
- Maintenance of effort/non-supplantation
- Continuous Quality Improvement (CQI) Plan
- Performance Measurement Plan
Program Requirements

State-Led Evaluation

• New or continued from previous project periods
• Clearly state if intending to start a new evaluation or continue a previous one
• Evaluation plan submitted within 120 days after NoA
• Promising approaches must be evaluated
  • Impact evaluation design
  • Comparison group

Can recipients continue a previous state-led evaluation?
Program Requirements
Collaboration with Early Childhood Partners and Early Childhood System Coordination

• See FY 2016 FOA for list of state agencies
  • New or updated MOUs OR letters of agreement submitted within 180 days of NoA
  • Does NOT need to be a legally binding document

• ECCS Impact representative(s) invited to serve on MIECHV advisory group whenever feasible

Do recipients need to re-submit a previously approved MOU?
Program Requirements
Subrecipient Monitoring

• Monitor subrecipient performance for compliance
  • Federal requirements AND performance expectations
  • Subrecipient monitoring plan

• Braiding (NOT Blending)
  • Each funding source is still identifiable
  • Allocate and track expenditures by source
  • Make distinct reports on uses of funds

Where can I find more information about subrecipient monitoring?
45 CFR §75.351
45 CFR §75.352
45 CFR §75.521
Program Requirements

Maintenance of Effort/Non-Supplantation

- MIECHV funds should not supplant other funding sources
- Maintain non-federal funding (state general funds) at same or greater level
- Baseline for maintenance of effort is most recently completed state FY
- Report in Attachment 6

What if there are state budget issues that affect our MOE?
Program Requirements

Limitation on Use of Funds for Recipient-level Infrastructure Expenditures

• 25% limitation on recipient-level infrastructure expenditures (including administrative expenditures and indirect costs)
• NO bearing on negotiated indirect cost rate
• Can request HRSA approval to exceed with justification

Are statewide centralized intake costs recipient-level infrastructure expenditures?
Funding Restrictions

- Limitation ("Cap") on Use of Funds for Administrative Expenditures
- Limitation on Use of Funds for Conducting and Evaluating a Promising Approach
Funding Restrictions

Limitation (“Cap”) on Use of Funds for Administrative Expenditures

• 10% cap on administrative expenditures
• Costs of administering the grant incurred by the recipient
• Administrative cap does not “flow down” to subrecipients
• Not a cap on the negotiated indirect cost rate
• Describe proposed administrative expenditures and provide estimated percentage (no more than 10%) in Budget Justification

Do indirect costs count toward the administrative cap?

Do administrative expenditures count toward the 25% limitation on recipient-level infrastructure expenditures?
Period of Availability

- 9/30/17 – 9/30/19
- Budget across the full period of availability (2-year budget)
- Flexibility on rate of expenditure
- Demonstrate HV services will be available across the project period
- Can budget $0 in Year 1 if FY 2016 formula funds will support services

Must recipients budget funds in year 1 of the project period?
Period of Availability Spreadsheet

*Attachment 10*

- Budget across the full period of availability

- Proposed FY 2017 formula grant budget by object class category (personnel, fringe, travel, etc.)

- **BY** year in the 2-year project period/period of availability
  - Year 1 - 9/30/17 to 9/30/18
  - Year 2 - 9/30/18 to 9/30/19

- Show how previous FY 2016 MIECHV formula grant is proposed to be spent in Year 1 (9/30/17 to 9/30/18)

*Must recipients spend funds in the order of the year of award, i.e. first in, first out?*
Period of Availability Spreadsheet

Attachment 10

Column 1: Remaining funding from FY 2016 MIECHV formula grant to be spent in Year 1

FY 17 MIECHV formula grant - Year 1 (for budgetary purposes: 9/30/17-9/29/18)
Column 2: FY 2017 MIECHV formula grant - Year 1 Service Delivery Expenditures
Column 3: FY 2017 MIECHV formula grant - Year 1 Recipient-Level Infrastructure Expenditures
Column 4: FY 2017 MIECHV formula grant - Year 1 Administrative Expenditures

FY 17 MIECHV formula grant - Year 2 (for budgetary purposes: 9/30/18-9/29/19)
Column 5: FY 2017 MIECHV formula grant - Year 2 Service Delivery Expenditures
Column 6: FY 2017 MIECHV formula grant - Year 2 Recipient-Level Infrastructure Expenditures
Column 7: FY 2017 MIECHV formula grant - Year 2 Administrative Expenditures

What might rows look like? Object class categories that MIRROR the SF-424A could provide ease!

Personnel, fringe, travel, equipment, supplies, contractual, other, Total Direct Charges, Indirect Charges, TOTALS
FY 2016 Formula FOA included a standard definition for family slot 
*(released in November 2015)*

- Establish a nationally standardized definition for first time
- Strike a balance in previous variation in how families reported MIECHV families
- Maintain flexibility to local programs to allocate MIECHV/other funding sources to cover personnel costs
- Capture reach of MIECHV as lever and other sources as lever for MIECHV-supported programs
Caseload of Family Slots

What is the CASELOAD OF FAMILY SLOTS?

• Highest number of families (or households) that could potentially be enrolled at any given time if the program were operating with a full complement of hired and trained home visitors
  • Maximum Service Capacity from Form 4
  • NOT a cumulative count of enrolled families
  • One point in time
What is a FAMILY SLOT?

• Family slots are those enrollment slots served by a trained home visitor implementing services with fidelity to the model for whom at least 25% of his/her personnel costs (salary/wages including benefits) are paid for with MIECHV funding.
  • All members of one family or household = single caseload slot
  • All families served by these HV should be counted/reported on for MIECHV
Home visitors have caseloads of 16 family slots.

All families in HRSA caseload of family slots. All families included in performance reporting to HRSA.
Propose a caseload of family slots for each federal fiscal year within the FY 2017 project period *(defined for the purposes of proposing a caseload as FY 2018 and FY 2019)*:

- Year 1 defined as FY 2018 from 10/1/2017 to 9/30/2018
- Year 2 defined as FY 2019 from 10/1/2018 to 9/30/2019
Percentage of Total Budgeted Expenditures to Support the Caseload of Family Slots Supported by MIECHV and non-MIECHV Funding Sources

*Attachment 11*

*To facilitate federal review of the proposed caseload:*
What is % of budgeted expenditures for the proposed caseload of family slots that is supported by MIECHV?

For EACH year 1 (FY 2018) and year 2 (FY 2019) provide:
• Total estimated budgeted expenditures ($ dollar figure) to support proposed caseload of family slots
• % supported by MIECHV *(may include multiple awards)*
• % supported by Non-MIECHV funding sources
FY2017 WPBU Update Submission Information

• 50-page limit
• Only one electronic submission per eligible entity
• A **complete submission** requires:
  • Completion of Standard OMB forms
  • Documents to be uploaded under the applicable folder in the EHB:
    • FY 2016 Project Status Update (4/1/16-9/30/17)
    • FY 2017 Project Narrative (9/30/17-9/30/19)
    • FY 2017 Budget and Budget Justification (9/30/17-9/30/19)
  • Attachments
FY 2016 Project Status Report
(4/1/2016 to 9/30/2018)

• FY 2016 Project Status Report and Projections for the Remainder of the Project Period
• Past Performance and Administration of Home Visiting Program
FY 2017 Proposed Project Narrative
(9/30/2017 to 9/30/2019)

• Project Abstract
• Purpose, Goals, and Objectives
• Methodology
• Work Plan: Project Period is 9/30/17-9/30/19, while Timelines for Data Reporting Requirements reflect the FFY: (10/1/17-9/30/18 and 10/1/18-9/30/19)
• Performance, Technical Support Capacity, and Evaluation
• Organizational Information
## Attachments

<table>
<thead>
<tr>
<th>Attachment Number and Type</th>
<th>Required</th>
<th>Optional*</th>
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<tbody>
<tr>
<td>Attachment 1: Logic Model</td>
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<td>Attachment 2: Work Plan Timeline</td>
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<td>Attachment 3: At-Risk Communities</td>
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<td>Attachment 4: Caseload of Family Slots</td>
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<td>Attachment 5: Local Implementing Agencies</td>
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<td>Attachment 6: Maintenance of Effort Chart</td>
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<td>Attachment 7: Updated Organizational Chart</td>
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<td>Attachment 8: Documentation of NEW Proposed Contracts</td>
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<td>Attachment 9: Model Developer Documentation</td>
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<td>Attachment 10: Period of Availability Spreadsheet</td>
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<td>Attachment 11: Percentage of Total Budgeted Expenditures to Support the Caseload of Family Slots</td>
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<td>Attachment 12-15: Other Relevant Documents</td>
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*If there ARE updates or major changes from the previous application submission, please upload an attachment. If there are NO major changes, please provide a statement to that effect for the appropriate attachment type within the Project Narrative.*
FY 2017 Formula Grant Work Plan and Budget Update (WPBU)

Reporting Requirements

• Financial Reports:
  • Federal Financial Report (SF-425) – annual submission
  • Federal Funding Accountability and Transparency Act (FFATA) Reporting – timely FFATA is required by the recipient of federal grant funds to the FFATA Sub-award Reporting System.

• Status Reports:
  • MCHB Administrative Forms
  • MIECHV Demographic, Service Utilization, and Select Clinical Indicators; Performance Indicators and Systems Outcomes Measures;
  • Quarterly Performance Reporting; and
  • Project Period End Performance Reporting
FY 2017 Budget and Budget Justification

FY 2017 Budget – SF-424A Form

• Applicants must provide a budget that describes the expenditure of grant funds at all points during the period of availability.
  • Recipients are not required to maintain the same rate of expenditure or the same level of home visiting services throughout the full period of availability but must demonstrate that home visiting services will be made available throughout the project period.
  • Grant funds that have not been obligated for expenditure by the recipient during the period of availability for use by the recipient will be de-obligated.
  • FY 2017 funds must be obligated prior to September 30, 2019 and liquidated by December 31, 2019. Under Federal statute at 42 U.S.C. 711(j) (3)), grant recipients are not allowed or prohibited from requesting an extension of the period of availability.

• Section A of SF-424A form: Only use Row 1, Column E to provide the proposed budget amount for FY 2017.
• Section B of SF-424A form: Only use Column 1 to provide the object class category breakdown for the entire period of availability of FY 2017 funds.
  • if you have an approved Indirect Cost Rate Agreement or a Statewide Cost Allocation Plan (CAP) and will be charging the grant for indirect costs, please enter the amount under the budget category for the budget line item titled “Indirect Costs”; please do not enter this amount under budget category titled “Other”.
FY 2017 Budget and Budget Justification

FY 2017 Budget Justification – Narrative

• Provide a narrative that explains the amounts requested for each line in the budget. The budget justification should specifically describe how each item will support the achievement of proposed objectives.

• Recipients must submit a budget justification for the entire period of availability from September 30, 2017 until September 30, 2019 (2 years).

• Line item information must be provided to explain the costs entered in the SF-424A. The budget justification MUST be concise.

• Recipients should not use the justification to expand the proposed project narrative.
FY 2017 Budget and Budget Justification

FY 2017 Budget – Key Requirements

• Prior to completing the Budget and Budget Justification Narrative, see Funding Restrictions on expenditures of the grant award, including:
  ➢ Statutory Limitation (“Cap”) on Use of Funds for Administrative Expenditures; and Limit of Funds for Conducting and Evaluating a Promising Approach.
  ➢ See also, Program Requirements:
    ❖ Limit of Funds to Support Direct Medical, Dental, Mental Health, or Legal Services; and
    ❖ Limitation on Use of Funds for Recipient-Level Infrastructure Expenditures.

• Expenditures charged to the grant must be reasonable, allowable and allocable under this program.
  ➢ For additional information on reasonable, allowable, and allocable costs, please reference the HHS Grants Policy Statement and 45 CFR 75.
FY 2017 Budget and Budget Justification

FY 2017 Budget – Key Requirements

• Documentation to support all grant expenditures must be maintained.
  ➢ Personnel charges must be based on actual and not budgeted labor. Salaries and other expenditures charged to the grant must be for services that occurred during the period of availability.
  ➢ Promotional items and other expenditures, which do not support the home visiting initiative, program outreach, and other MIECHV program activities, are unallowable.
    ❖ Promotional items and memorabilia (e.g., pencils, cups, t-shirts, cookbooks, bags, etc.), gifts, and souvenirs designed to promote the recipient’s organization are unallowable as advertising/public relations costs.
FY 2017 Budget – Key Requirements (cont.)

• Recipients must have in place and follow an established and adequate procurement system with fully developed written procedures for awarding and monitoring all contracts. Recipients must provide a clear explanation as to the purpose of each contract, how the costs were estimated, and the specific contract deliverables. HRSA reserves the right to request a line item breakdown for each contract, if necessary.

• Prior approval is required for rebudgeting grant funds that are 25% or more of the approved budget. However, grant funds that necessitate rebudgeting into budget categories that were not previously approved, must receive prior approval regardless of the rebudgeting amount or percentage.
  ➢ While it is not a requirement to provide notification for rebudgeting activities that do not meet the 25% threshold, courtesy notification of such activities is welcome.

• Recipients must comply with the reporting requirements outlined on the Notice of Award. Such reporting requirements include the submission of:
  ➢ Federal Financial Report (FFR)
  ➢ Federal Cash Transaction Report (FCTR)
  ➢ Federal Funding Accountability and Transparency Act (FFATA) Report

• The recipient financial management systems (including records documenting compliance with Federal statutes, regulations, and the terms and conditions of the Federal award) must be able to:
  ➢ Track funds to a level of expenditures adequate to establish that grant funds have been used according to the Federal statutes, regulations, and the terms and conditions of the Federal award.
  ➢ Separate the MIECHV funds within a single grant by period of availability (i.e., must have a chart of accounts to prevent grant expenditures from being co-mingled with other grant periods of availability).

• In accordance with the federal record retention policy, the recipient and subrecipients must maintain all documentation for a minimum of three (3) years after the submission and acceptance of the final Federal Financial Report (FFR).
Electronic Handbooks (EHBs) Submission Process: Getting Started
EHBs Submission Process: Getting Started

You are here: Home » Grants » Funding Opportunities » Organization

- **Grant Application - Create**

  - **Funding Cycle Information**
    - Announcement Number: HRSA-17-120
    - Announcement name: Maternal, Infant and Early Childhood Home Visiting Program - Formula
    - Program Name: Maternal, Infant and Early Childhood Home Visiting Grant Program
    - Program Type: Non-Construction
    - Application Deadline: 5/5/2017 11:23:12 AM

  - **Select Application Type**
    - Eligibility Code
    - Application Type: New
    - Existing Grant Number (Enter an existing active Grant Number for this Program)
      (e.g. X10MC29477)
EHBs Submission: Standard Forms

*SF-424, 424A and 424B Forms*
EHBs Submission: Project Status Report and Project Narrative
EHBs Submission: Project Status Report and Project Narrative

1. Attach File

2. Choose File

3. Upload

4. Save

Repeat Steps:
EHBs Submission: Budget Narrative
EHBs Submission: Attachments 1-15
EHBs Submission: Review

Remember: Only the Authorizing Official Can Submit

COMPLETE when check marks are green
EHBs Submission: Submit

*Remember: Only the Authorizing Official Can Submit*
Need Help?
Your HRSA Contacts

• EHB Submission/Technical Issues:
  HRSA Contact Center
  Monday-Friday, 8:00 a.m. to 8:00 p.m. ET
  (877) 464-4772; TTY: (877) 897-9910
  http://www.hrsa.gov/about/contact/ehbhelp.aspx

• Business, Administrative, or Fiscal Issues:
  • Please contact your HRSA Grants Management Specialist

• Programmatic Issues or Technical Assistance:
  • Contact Your HRSA Project Officer
Questions & Answers