



2022 Request for NEW Grant  
Applications and Grant Application  
Handbook for:

**Title III-B Supportive Services**  
**Title III-D Health Promotion Services**  
**Title III-E Caregiver Support Services**  
**Timeframe: January 1, 2022 thru December 31, 2022**

APPLICATION DEADLINE: The application, whether mailed or hand delivered, must arrive at the Dancing Sky Area Agency on Aging (DSAAA) office no later than **3:00 p.m., on Friday, October 22<sup>nd</sup>, 2021**. Applications must be mailed or hand delivered to the Dancing Sky Area Agency on Aging, 109 South Minnesota Street, Warren, MN 56762. DSAAA does not accept a postmark date but requires receipt of the application in the DSAAA office by the application deadline.

Applications may not be transmitted using electronic media such as facsimile (FAX) or e-mail. Late responses will not be accepted and will automatically be disqualified from consideration and returned. The method of delivery shall be at the discretion of the applicant and at the applicant's sole risk.

**BIDDERS CONFERENCE – 10am on Monday, September 27<sup>th</sup> via ZOOM**  
<https://us02web.zoom.us/j/88632029909?pwd=b2dTb0J4NnBCRzUxYjJkZGhYNzAvdz09>

Direct inquiries to:

Judi Weiss, Grant/Contract Manager  
Dancing Sky Area Agency on Aging  
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Warren, MN 56762  
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Successful applicants must abide by state EOE policies.

*Mission Statement*

*Dancing Sky works with rural communities to help older adults stay in control of their choices.*

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Attachment 1	Title III-B, D and E Grant Applications, Budget Instructions and Forms
Attachment 2	Persons to be Served Form
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*NOTES: 1. All references to other documents, i.e. Older Americans Act (OAA), Office of Budget and Management (OMB) circulars, are contingent upon their compliance with the most recent amendments to the OAA of 1965 and any federal laws or circulars that supersede those referenced.*

## General Information

### A. Introduction

The Dancing Sky Area Agency on Aging (DSAAA) is seeking providers of services under the following Older Americans Act (OAA) Titles of funding:

#### **Title III-B Supportive Services**

Funding is designed to develop or expand a broad range of services for older adults (60+). Funds are to be used to fill gaps in existing services and to develop a comprehensive and coordinated system of services.

Services include:

- Chore (1 unit = 1 hour) – registered service
- Homemaker (1 unit = 1 hour) ) – registered service
- Assisted Transportation (1 unit = 1 one-way trip) ) – registered service
- Friendly Visitor (1 unit = 1 visit)
- Telephone Reassurance (1 unit = 1 call)

#### **Title III-D Health Promotion and Disease Prevention**

Funding is specifically designed to develop community-based programs and services that further health promotion and disease prevention for older people (60+). **Each evidence-based class “series” will be reimbursed \$1,250.**

Services include:

- CDSMP/CPSMP/DSMP
- SAIL
- Walk with Ease
- Matter of Balance
- PEARLS
- Healthy Ideas
- TJQMBB
- Bingocize

\*\*or other evidence based Mental Health focused intervention, upon approval

**NOTE:** As of October 1, 2016, all programs using Title III-D funds will have to meet these criteria (equivalent to the "highest-level" criteria of the former definition):

- ◆ *Demonstrated through evaluation to be effective for improving the health and well-being or reducing disease, disability and/or injury among older adults; and*
- ◆ *Proven effective with older adult population, using Experimental or Quasi-Experimental Design; \* and*
- ◆ *Research results published in a peer-review journal; and*
- ◆ *Fully translated in one or more community site(s); and*
- ◆ *Includes developed dissemination products that are available to the public*

#### **Title III-E Family Caregiver Support**

Funding is designed to develop or expand services that are designed to reduce caregiver burden, enable caregivers to remain in the workforce, and prevent or delay the need for a higher level of care for the care receiver.

Services include:

- Individual or Family Counseling) – registered service
- Respite (in-home and out-of-home) – registered service
- Support Groups) – registered service
- Caregiver Training and Education (Powerful Tools for Caregivers/REACH) – registered service

## **B. Eligible Persons**

Eligibility for services is controlled by federal and state laws and regulations including, but not limited to, those found in the OAA, OMB Circulars, etc.

In general, persons 60 years of age or older are eligible for OAA Title III-B, D and E services.

Special emphasis must be placed on specific target populations as defined in section C below.

## **C. Target Populations**

The Title III funding program is designed to meet the needs of all older people and their caregivers, however, the OAA places a special emphasis on:

1. individuals residing in rural areas
  - a. "rural" means any area that is not defined as urban. Urban areas comprise (1) urbanized areas (a central place and its adjacent densely settled territories with a combined minimum population of 50,000) and (2) an incorporated place or a census designated place with 20,000 or more inhabitants); - *(the two areas in our region that are NOT rural are East Grand Forks and Moorhead)*
2. individuals with greatest economic need *(with particular attention to low-income minority individuals and older individuals residing in rural areas)*
  - a. "greatest economic need" means the need resulting from an income level at or below the federal poverty level;
3. individuals with greatest social need *(with particular attention to low-income minority individuals and individuals residing in rural areas)*
  - a. "greatest social need" means the need caused by non-economic factors, which include
    - i. physical and mental disabilities
    - ii. language barriers, and
    - iii. cultural, social, or geographical isolation, including isolation caused by racial or ethnic status, that
      - 1) restricts the ability of an individual to perform normal daily tasks
      - 2) threatens the capacity of the individual to live independently;
4. individuals at risk for institutional placement
  - a. "at risk for institutional placement" means having a limitation in at least 2 of the Activities of Daily Living;
5. individuals with severe disabilities;
6. individuals with limited English proficiency;
7. individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction.

## **D. Strategy for Use of Title III Funding**

DSAAA, as a federally funded and state-designated AAA, seeks to ensure the development of a coordinated and comprehensive system of services for older people and their caregivers in Becker, Beltrami, Clay, Clearwater, Douglas, Grant, Hubbard, Kittson, Lake of the Woods, Mahnomen, Marshall, Norman, Otter Tail, Pennington, Polk, Pope, Red Lake, Roseau, Stevens, Traverse, and Wilkin Counties. To accomplish this, DSAAA coordinates, advocates for and funds services for older people and their caregivers.

The OAA allows for funding a broad range of services but provides a limited amount of funds. In order to make the best possible use of the limited resources available, Title III Funding Priorities are established.

These priorities assist DSAAA to ensure Title III funds are awarded to projects which address the greatest service needs of older persons and their caregivers in northwest Minnesota.

#### **E. Availability of Funds**

In order to receive a Title III grant/contract award, funds for the service must be included in the budget of the Area Plan on Aging prepared by DSAAA. Work on the plan begins in the summer, with a public hearing in the fall. The Area Plan will be presented for approval to the DSAAA Board of Directors in October and the Minnesota Board on Aging (MBA) in December. The plan can be amended as necessary.

Technical assistance in applying for funds is available from DSAAA's grant/contract manager and program directors.

#### **F. Title III-B, D & E Grant Funding Policies**

1. Title III grant projects are funded annually for a period of twelve months contingent upon the availability of Title III funding, assurance that no other funding sources are or could be providing a significant portion of the project's budget, and satisfactory project performance. After the twelve-month period is completed, each project must re-apply to determine if an additional year of grant funding will be awarded. In order to be considered, projects must have had satisfactory performance and have explored and/or exhausted any other means of funding for all or part of the project budget. In addition, projects will only be considered for funding beyond twelve months if sufficient Title III funds are available and a need for the service continues to exist.
2. All proposed services must be a Title III service listed in Appendix C.
3. All applications must propose to provide services in all or a portion of the twenty-one-county service area in order to be funded. (*minimum of one county coverage*)
4. Agencies, organizations and local units of government seeking funds under Title III must apply for those funds by using the forms, instructions and format prescribed by DSAAA.
5. The OAA places a "maintenance of effort" requirement on Title III funding. Maintenance of effort means that Title III funds may NOT be used to supplant or replace other sources of funding. Any existing services funded with non-Title III funds, and their existing clients, must be maintained through sources of funding other than Title III.
6. Local support of each proposed project will be reviewed by the DSAAA Grant Review Sub-Committee.
7. Title III funds may not be used to fund services to persons who are eligible and within their maximum service limits allowable for Medicare, Elderly Waiver (EW), Alternative Care (AC) and/or Community Alternatives for Disabled Individuals (CADI) reimbursement. Title III funds may be used to provide services to persons not eligible for any reimbursement or who have exceeded their maximum service limits allowable.
8. In specific situations and conditions, any of the policies, requirements, criteria, etc. outlined in this section can be waived by the DSAAA Board of Directors.

#### **G. Funding Ratios/Matching Requirements**

Title III-B

Local match of either cash and/or in-kind is required based on the following funding ratio:

- 85% federal / 15% local (cash and/or in-kind)

#### Title III-D

Local match of either cash and/or in-kind is required based on the following funding ratio:

- 100% federal / 0% local (cash and/or in-kind)

#### Title III-E

Local match of either cash and/or in-kind is required based on the following funding ratio:

- 75% federal / 25% local (cash and/or in-kind)

### **H. Cost Sharing, Voluntary Contributions and Program Income Policy**

#### **Cost Sharing**

Background:

In March 2011, the MBA approved an updated Title III policy regarding cost sharing and voluntary contributions. See Appendices B, D and E for additional information on cost sharing. Implementation of the new policy began with the 2012 project year.

Cost sharing is required for all Older Americans Act Title III funded services except:

1. Information and assistance, outreach, benefits counseling, or other case management services
2. Ombudsman, elder abuse prevention, legal assistance, or another consumer protection service
3. Congregate and home delivered meals
4. Any service delivered through tribal organizations
5. Persons at or below the federal poverty level
6. Persons receiving services through a Medicaid Waiver Program (CADI, CAC, DO, EW, TBI) or the Alternative Care Program

For those services for which cost sharing is required:

- The recommended level of cost sharing is 50%. For those individuals unable to cost share at the 50% level, a cost share sliding scale - based solely on gross income levels and cost of delivering services (total cost per unit shown on page A.2-Budget Summary) shall be used to determine the cost share amount. Each grantee/contractor must identify their unit of service cost (total cost per unit) as the basis for the cost share sliding fee scale.
- Variations to the sliding scale provided by DSAAA that comply with the intent of the policy and encourage financial contributions by users are allowed. For example, if a grantee/contractor has been successful in generating higher levels of cost sharing through use of a different scale, the grantee/contractor may continue to use that scale. Scales that vary from the DSAAA provided scale must be approved by DSAAA prior to implementation.
- The grantee/contractor must publish the cost share sliding scale and advise clients of the opportunity to contribute towards the cost of the service. The grantee/contractor shall submit a copy of the cost share sliding scale and related client education and notification materials to DSAAA with this RFP.
- The grantee/contractor must protect the privacy and confidentiality of each individual (with respect to the declaration or non-declaration of individual income and to any share of costs contributed or not

contributed by an individual).

- Participant income level will be based on self-reported gross income of the older adult service recipient. Personal assets, savings, and/or other property are not to be considered. Income verification is not allowed. A means test shall not be utilized to determine eligibility for Title III services.
- Related to Title III-E caregiver services, in cases where the caregiver and the care receiver are married and at least one is 60+ years old, both incomes will be used to determine the cost share amount. The two-person household income column on the cost share sliding scale will be used to determine the cost share amount.
- The grantee/contractor may not deny service to any individual unable or unwilling to make a contribution for service.
- All primary sources of payment, including home and community-based Medicaid waiver programs and the Alternative Care Program, should be maximized and used first for qualifying clients.
- Cost sharing "statements" may be provided to clients but must not carry forward a balance due amount.
- The grantee/contractor shall have written policies and procedures on how they will implement and administer the cost sharing policy. Grantee/contractor will show on quarterly reports how the cost share income was used to expand the program.
- The grantee/contractor shall establish and maintain separate fund codes established through the general ledger for the funds provided under the grant/contract award and income generated by the project. The funds shall not be co-mingled with funds received under any other agreement. The grantee/contractor is responsible for regular deposit of program income.
- Cost sharing revenue shall be used to expand the service for which the payment was given.

### **Voluntary Contributions**

Voluntary contributions are still allowed for all Title III services. Voluntary contributions, however, do not replace the cost sharing policy outlined above.

The grantee/contractor shall have available a schedule of suggested contributions and shall advise clients who are exempt from cost sharing or unwilling to participate in cost sharing, of the opportunity to contribute towards the cost of the service. In no case shall the grantee/contractor deny the provision of service to a consumer who is unwilling to make a contribution. Voluntary contributions shall be used to expand the service for which the contribution was given.

### **Program Income**

Program Income, as defined in 45 CFR 74 (or 45 CFR 92) (<http://www.gpoaccess.gov/cfr/index.html>), includes, but is not limited to, client donations, cost share revenue and other income received by or due to the grantee/contractor organization, as a result of activities wholly or partially supported by funds from the Title III award. Grantee/contractor organizations must report all program income to DSAAA per the signed Notification of Grant Awarded (NGA)/Contract.

## Instructions for Completing Title III Grant Application

Each section of the application must be completed in accordance with the instructions contained herein. Applications that are handwritten, e-mailed or faxed will not be accepted.

Applications that are incomplete or fail to meet the application deadline will not be reviewed and will receive no further considerations. Late applications will be returned to the applicant. DSAAA reserves the right to waive minor or immaterial irregularities.

**The application plus one copy must be received at the DSAAA office by the date and time indicated.**

### A. Budget

The application budget and instructions are included in Attachment 1, Title III-B, D and E Grant Application Budget Instructions and Forms. Complete the budget and *attach it as the first section of the application*.

**\*\*If you are submitting a proposal for a “registered service” and you are a new provider for DSAAA please add a Peer Place fee of \$1,500 for a standard license for having your data entered into the Minnesota tracking software. The cost for establishing a new program (service) for an agency already established in the Peerplace NAPIS data system will be \$1,000. Each additional program (service) added at the same time, using the same welcome kit, will be \$800 for each program.**

#### Examples:

- New to DSAAA and applying to provide ONE service for 2022
  - Total added cost to budget is \$1,500.
- New to DSAAA and applying to provide TWO services for 2022
  - Total added cost to budget is \$2,300 (\$1,500 + \$800)
- Established DSAAA provider and applying to provide ONE additional service for 2022
  - Total added cost to budget is \$1,000
- Established DSAAA provider and applying to provide TWO additional services for 2022
  - Total added cost to budget is \$1,800
- *Please reach out to the grant manager with any other questions or scenarios*

### B. Program Plan (Narrative)

This section of the application requires responses that describe the program plan to be undertaken by the project. The applicant must provide clear and concise responses to each item and follow the outline format to allow for ease of review and determination of compliance with applicable regulations, policies, and procedures. Failure to provide all or part of the information requested may be grounds for disqualifying an application. The outline and instructions are included in Attachment 4.

### C. Persons Served

The following definitions and instructions should be used when completing the Persons to be Served Form (Attachment 2):

- Rural - for this purpose rural means any area that is not defined as urban. Urban is defined as an area with a population of 50,000 or more.
- Race/Ethnicity - for this purpose, White (non-Hispanic) is any person who is not considered a

minority. Minority Status is confined to the following designations: Hispanic/Latino; American Indian/Alaskan Native; Asian; Black/African American; and Other (i.e. Native Hawaiian, Pacific Islander, other races, multiple races).

- Below Poverty - for this purpose, below poverty is defined as persons whose income is at or below the official DHHS poverty threshold. (This level changes on an annual basis; see Appendix A for current Poverty Guidelines.)
- Unduplicated Count - This section is designed to project an unduplicated count of all eligible persons to be served during the project year and their characteristics. At the top of the page, enter the Primary Service(s) to be provided. Only supply information in the columns of the Primary Service(s) you propose to provide.

Estimate the number of unduplicated older persons projected to be served during the project year for each service. In addition, the following characteristics must be projected: rural residents, race/ethnicity, county of residence and low-income status. See definitions above.

List each county in which the project will operate. Project the number of older persons to be served by county of residence.

All spaces must be filled. If it is estimated that no persons within a certain category will be served, then place a "0" in that space.

If more than nine counties are proposed to be served, attach an additional sheet

#### **D. Outcomes**

Outcomes are desired benefits or changes for individuals or populations during or after participating in the project activities/services. Outcomes may relate to behavior, skills, knowledge, attitudes, values, condition, or other attributes. They are what participants know, think, or can do; or how they behave; or what their condition is, that is different following participation in the project.

Complete an Outcome Form (Attachment 3) for each outcome the project intends to achieve and attach them to the application. Projects are required to have a minimum of three outcomes which must include one outcome on targeting and service to older persons of minority status, including Native Americans.

Each outcome must be:

- clearly measurable and related to a specific need;
- achievable by the service(s) the project provides; and
- stated in such a way that reflects the benefits to be obtained by older persons through the provision of the project's units of service.

There must be a logical relationship between the description of outcomes and the services to be provided and between the outcomes and the budget.

Each outcome must have at least one measure that can be used to determine if project participants are experiencing the intended benefit(s) of the project activities.

Each outcome must define the need it will address, the action steps necessary to achieve the intended results, and the expected completion date for each action step.

## **E. Project Management**

### 1. Public Information

Describe the public information activities to be carried out by the project through means such as radio, television, newspapers, internet, social media, etc.

### 2. Fiscal Management

Describe how Title III funds will be accounted for and integrated into the existing financial accounting system.

Describe strategies for cost-effective service delivery. Include how the strategies will be implemented to ensure that the cost for the service proposed is reasonable and, at a minimum, not more than market rate for the same or similar activities in the service area.

In addition, describe how client service levels, expenditures and income will be monitored and managed to ensure funds will be fully utilized and there will be a continuity of service for the entire grant period.

In order to demonstrate fiscal capacity, complete Attachment 5, Agency Information and Fiscal Capacity, and attach it to the application.

### 3. Staffing

List and describe each staff position included in the project. Indicate whether positions are new or existing. Include a timetable for hiring, if applicable.

### 4. Quality Assurance and Evaluation

Describe the ongoing plan for monitoring, evaluating and improving the quality of service(s) provided by the project. At a minimum, this should include (1) staff, and if applicable, volunteer performance appraisal protocols; (2) client satisfaction protocols; and (3) advisory council/board review. It should also include how the perspectives of older persons will be gathered and utilized in monitoring, evaluating and improving service quality.

In addition, address how the project will determine (measure) whether there has been improvement in the quality of service as a result of the project's quality assurance and evaluation protocols.

### 5. Accessibility for Persons Who are Handicapped

Explain the methods which will be used to make the project accessible to persons who are handicapped via referral to agencies that are or by utilizing other means for your project. In addition, describe the methods which will be used to communicate with older persons who are visually impaired and older persons who are hearing impaired.

***NOTE:*** When there is more than one option for implementation, the option selected should be the one that will result in the "most integrated setting appropriate" for older persons who are handicapped. If possible, persons who are handicapped or their representatives should be consulted in making these decisions.

### 6. Volunteer Involvement

Describe how the project plans to use volunteers in the project to the fullest extent possible, how they will be recruited, selected, maintained and evaluated. Please explain any training and background checks completed.

### 7. Future funding

Outline specific efforts that will be made to generate financial support of the project from sources other

than Title III. Include a plan, goals and time line for generating support.

**NOTE:** Title III funds, or other funds generated through a Title III project, cannot be used for fundraising activities. This includes staff time, printing, copying, et al.

#### **F. Report of Past Performance**

Only applicants who are DSAAA's current grantees must complete Attachment 6, Report of Past Performance and attach it to the application. The Report of Past Performance outlines the extent to which the current year's outcomes and projected numbers of persons served, units of service, cost per unit, etc. are being achieved.

1. Insert primary service(s).

List projected and actual number of unduplicated persons served by county for each primary service see most recent quarterly report for total number of unduplicated persons served this year by county.

2. List projected and actual number of low income persons served for each primary service.
3. List unit measure for each primary service, i.e., 1 hour, 1 session, 1 contact, etc. Include projected and actual number of units by quarter for each primary service.
4. Fill in projected and actual total unit cost information for each primary service (see Program Budget Summary in current grant for projected unit cost information and most recent quarterly report for actual unit cost information).

#### **G. Assurances**

All projects funded under Title III of the OAA, must be administered in compliance with Attachment 6, Assurances of Compliance and Certifications Required by Federal Law. The person signing the Assurance form acknowledges and agrees that:

- a. he/she is the authorized representative of the applicant agency;
- b. the signature of the authorized official constitutes an acknowledgment that the applicant agency has received and reviewed each of the following assurances and certifications:
  - General Assurances Agreement Between Applicant Agency and the DSAAA Upon Submission of Proposal
  - Assurance of Compliance with Section 504 of the Rehabilitation Act of 1973, as Amended
  - Assurance of Compliance with Civil Rights
  - Assurance - Non-Construction Programs
  - Certification Regarding Lobbying Certification for Contracts, Grants, Loans, and
  - Cooperative Agreements
  - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion- Lower Tier Covered Transactions
  - U.S. Department of Health and Human Services Certification Regarding Drug-Free Workplace Requirements Grantees Other Than Individuals
- c. the authorized official's signature on the Assurances form constitutes a signature on each of the above listed assurances and certifications; and

- d. the authorized official certifies that all information on this form and the application is complete and correct to the best of his/her knowledge.

Review Attachment 7, Assurances of Compliance and Certifications Required by Federal Law, complete the first page and attach the entire document to the application.

#### **H. Application Check List**

Complete Attachment 8, Application Check List, and attach it to the application.

### **Review and Selection Process**

#### **A. Grant Review Sub-Committee**

A Grant Review Sub-Committee will be established and will make recommendations for Title III funding awards. Committee members have the authority and autonomy to recommend awards based on a variety of factors, i.e., current funding priorities, funding criteria, application/proposal content, applicant/proposer interview (if required).

#### **B. Submission and Review**

All applicants/proposers are required to submit an application/proposal, plus one copy, in the format and by the deadline specified by DSAAA. DSAAA's grant/contract manager will undertake a systematic review of the form and content of the application/proposal. The application/proposal will be reviewed for mathematical accuracy, programmatic content and conformity to funding criteria.

After such review, the grant/contract manager will make comments to the applicant/proposer. Revisions and/or responses to comments will be required to be submitted to DSAAA by a specified date.

DSAAA's grant/contract manager and/or program directors will provide technical assistance in developing applications/proposals; however, all responsibility for the development and submission of the application/proposal rests with the applicant/proposer.

All applications/proposals will be reviewed by the Grant Review Sub-Committee.

Applicants/proposers may be required to attend one Grant Review Sub-Committee meeting, present their proposed project and respond to questions. Based on the application/proposal review and the applicant/proposer presentation, the Grant Review Sub-Committee will evaluate the applications/proposals, develop funding recommendations for each application/proposal and submit the recommendations to the DSAAA board.

The DSAAA board will review the Grant Review Sub-Committee recommendations at a regularly scheduled meeting. The board will make funding awards based on review of the Grant Review Sub-Committee recommendations and consideration of applications/proposals that are in the overall best interest of the twenty-one-county service area. DSAAA's grant/contract manager will notify applicants/proposers in writing of the action taken by the DSAAA board and of their right to appeal. DSAAA reserves the right to reject any or all applications/proposals.

#### **C. Appeal**

In the event that an applicant/proposer for Title III funds under the OAA is dissatisfied with DSAAA's action, the applicant/proposer may appeal following the Appeal Procedure outlined in Appeal Procedure below.

## Appeal Procedure

Unsuccessful applicants/proposers have the right to appeal. Written notification of a request for an appeal hearing must be received by the executive director of DSAAA within 10 working days of written notification of the decision. The request for hearing must describe the adverse action taken, who took the action, and the reason for believing the action to be in error. Notice by electronic media such as facsimile (FAX) transmittal or email will not be accepted. **The hearing shall consider procedural grounds only and shall not consider issues of merit.**

## Grantee/Contractor Responsibilities

### A. Targeting of Service

Grantees/contractors receiving OAA funds are required to give preference to older persons/caregivers residing in rural areas, with greatest economic need (with particular attention to low-income minority persons and persons residing in rural areas), with greatest social need (with particular attention to low-income minority persons and persons residing in rural areas), at risk for institutional placement, with severe disabilities, with limited English proficiency, and with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (see General Information, Section C. for targeting emphasis). Grantees/contractors may use methods such as location of services and specialization in the type of services most needed by these groups to meet this requirement. Grantees/contractors are especially advised to undertake special outreach efforts where feasible to inform targeted groups of their Title III service(s).

### B. Civil Rights Requirements and Program Accessibility

All projects funded under Title III of the OAA, must be administered in compliance with Title VI of the Civil Rights Act of 1964 (governing regulations contained in 45 CFR 80), Section 504 of the Rehabilitation Act of 1973 (governing regulations contained in 45 CFR84), Older Americans Act of 1965, Minnesota Human Rights Act of 1989, and the Americans with Disabilities Act of 1990, and amendments thereto.

Initially, Title III grant applicants/contract proposers indicate their compliance by signing the Assurances of Compliance & Certifications Required by Federal Law (see Instructions for Completing Title III Grant Application, Section F.). After receiving federal funds, grantees/contractors must periodically review their policies and practices to determine whether discriminatory practices are occurring, and take corrective action when necessary, to assure compliance with the above statutes and regulations. Grantees/contractors must also ensure that all programs and subcontracts administered by the project are in compliance. In addition, DSAAA has responsibility for ensuring that grantees/contractors are in compliance. DSAAA will carry out this responsibility by requiring grantees/contractors to collect data and by conducting project assessments (see Assessment and Monitoring) to discuss and ensure compliance.

All projects receiving federal funds must make services available to all older persons (60+) without regard to race, color, creed, religion, national origin, disability, or gender. All projects must include a non-discrimination notice, which includes all of the above protected categories on all written communications to the public, including brochures, bulletins, and posters. The following phrase is an example of a non-discrimination notice: "Project services are available to all older persons (60+) without regard to race, color, creed, religion, national origin, disability, or gender." All projects must have on hand a written Non-

Discrimination Policy (see [Appendix F](#) for sample) and display in a conspicuous location at all service sites a poster, provided by DSAAA, explaining the Civil Rights Complaint Procedure (see [Appendix G](#) for sample). The staff of Title III projects will inform older adults receiving services of their rights in writing upon their initial contact with the project and on a periodic basis thereafter.

Each grantee/contractor must take appropriate steps, as are necessary, to develop a capability for communicating effectively and fully with participants and members of the public who are sensory impaired. Specifically,

- a) All grantees/contractors must establish and implement policies and procedures which provide for a means of communication with vision and hearing impaired older persons/caregivers. This must include the ability to make available qualified sign language interpreters, telecommunication devices for the deaf, and other auxiliary aids when necessary. This may include a cooperative communications agreement with a Deaf and Hard of Hearing Services office and/or local resource agencies that can assist in obtaining sign language interpreters, TDDs, and other auxiliary aids.
- b) Additionally, grantees/contractors must notify the general public and persons with disabilities about the reasonable accommodations that are available.

All written communications for distribution must contain the following statement indicating that alternative formats will be provided to visually impaired persons upon request: "Upon request, this information will be made available in an alternative format, such as Braille, large print or audiotape."

Notice of TDD (telecommunications devices for the deaf) numbers must be added to all written materials whenever a telephone number is listed, including on letterhead and bulletins. If the volume of calls received from persons using TDDs is not significant, grantees/contractors may use Minnesota and include the following statement in lieu of a TDD number: "To access this telephone number, persons with hearing or speech impairments are requested to contact Minnesota Relay at 711." Note: Information on Minnesota Relay can be found at <http://mn.gov/commerce/consumers/Minnesota-Relay-Users/About-MN-Relay.jsp>.

Participants of meetings, training sessions, programs or other activities must be informed of the availability of reasonable accommodations by including the following language on bulletins, flyers, brochures and letters: "If you need a reasonable accommodation for a disability (e.g., wheelchair accessibility, interpreter, Braille or large print materials) such an accommodation can be made available upon advance request. Please contact (name) at (voice phone and TDD or Minnesota Relay number) as soon as possible."

- c) All grantees/contractors must establish and implement policies and procedures which provide for a means of communication with non-English or limited-English speaking older persons. This must include the ability to make interpreters or bilingual staff available where necessary, either through agency staff or a cooperative communications agreement with local resource agencies that can assist in obtaining interpreters. Additionally, in areas where substantial numbers of older persons are of limited-English speaking ability, an individual must be employed by the project, or available to them on a full-time basis, to assure assistance is available to enable individuals of limited-English speaking ability to participate in programs and receive assistance under the OAA. This individual must also provide guidance on, and awareness of, cultural sensitivities and linguistic differences to those providing services. [Title VI Civil Rights Act and OAA Sec 307 (a)(20)(B)] Grantees/contractors must provide for specific outreach efforts to potential participants of minority status.

- d) All projects must be accessible to persons who are handicapped. Grantees/contractors must document how program accessibility for handicapped persons is assured in each location where service is provided. Grantees/contractors establishing services in new locations must assure that the program is accessible to persons who are handicapped prior to implementing services.
- e) Grantees/contractors are responsible for informing their staff of the above-mentioned responsibilities.

**C. Program Income**

All Title III grantees/contractors must abide by the cost sharing, voluntary contributions and program income policies outlined in General Information, Section H. and Appendices B and E.

**D. Public Information**

All Title III grantees/contractors must identify DSAAA and MBA as a source of funding in all mass media coverage and public information efforts. This includes press releases, feature articles, radio or television coverage, and any pamphlets, posters or public information flyers which are developed directly related to the project. The following phrase or words to the same effect must be included: *"This project is made possible in part under the Federal Older Americans Act through an award from the Dancing Sky Area Agency on Aging under an Area Plan approved by the Minnesota Board on Aging"*.

**Publications**

1. Any books, reports, pamphlets, papers, or articles based on activities receiving Title III funding must contain notices regarding source of funding as outlined above.
2. The Administration on Aging (AoA), MBA, and DSAAA reserve the option to each receive free of charge up to 12 copies of any publication published as a part of a grantee's/contractor's operations, and two copies of any publication based on such operations.
3. Where a grantee's/contractor's activities result in a book or other copyrightable material, the author is free to obtain a copyright, but the AoA, MBA, and DSAAA reserve a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, all such materials.

**E. Applicable Laws and Regulations**

All Title III grantees/contractors shall be subject to: a) all applicable provisions of the OAA and related regulations and guidelines, all applicable OMB Circulars relating to the utilization of funds, operation of the program, maintenance of records, and policies of the DHHS that regulate federal funds, operation of the program, maintenance of records, and all other applicable federal regulations, requirements and policies; b) MBA policies and procedures and all other applicable state regulations, requirements and policies; c) DSAAA policies and procedures and all other applicable local regulations, requirements and policies.

**F. Licensure Requirements**

Where state or local public jurisdictions require licensure for the provision of services, agencies providing Title III services shall be licensed, or shall meet the requirements for licensure.

**G. Reporting Requirements**

1. All Title III grantees/contractors are required to complete reports as directed by the DSAAA, including format and deadlines.

Monthly reporting (generally due (or entered into Peer Place) within ten days of the last day of each month - February 10, March 10, April 10, etc.):

- Title III grantees/contractors providing "Registered" services (see Appendix C) must agree to work with service participants to complete National Aging Program Information System (NAPIS) registration forms and ensure that current, accurate and comprehensive participant data is obtained and either entered into the MBA approved NAPIS data system or reported to DSAAA by the specified due date. The NAPIS data is used for meeting the requirements of the U.S. Administration on Aging, participant targeting and service planning, and verification of participant eligibility.
- Particular attention must be given to
  - Collecting complete and accurate information for basic eligibility determination and client demographics (date of birth, income level, race/ethnicity, etc.)
  - Determining limitations in Activities of Daily Living (ADLs) and Instrumental Activities of Daily Living (IADLs). Each person receiving "Registered" services must be assessed, preferably in person, prior to or within 10 working days after the beginning of service delivery. Reassessment shall occur as needed, but at least annually.

Quarterly reporting (generally due within thirteen days of the last day of each quarter- April 13, July 13, October 13, January 13):

- Program and Financial Report
- Request for Payment
- Persons Served (non-registered services only)
- Outcome Report

Annual reporting (due end of February following the end of the project year):

- Final Financial Report.

## 2. Late Reports

The submission of prompt, complete, and accurate reports is essential to the fulfillment of the grantee's/contractor's obligations for accountability. DSAAA in turn must be accountable to MBA. Consequently, to ensure timely reports, DSAAA will abide by the following:

- a. Any grantee/contractor failing to submit a report by the specified deadline will not receive payment of funds until the report is received and all corrections have been made.
- b. Any grantee/contractor that fails to submit a report within 30 days of the deadline will be declared to be in non-compliance and will be subject to immediate suspension of Title III funding as outlined in Suspension and Termination of this document.

DSAAA will notify the grantee/contractor of any corrections to be made in reports. The grantee/contractor must submit a corrected quarterly report by the date specified by DSAAA.

## H. Request for Payment

In order to receive payment of Title III grant/contract funds, grantees/contractors must submit a Request for Payment form to DSAAA on the prescribed forms by the required due date.

#### **I. Project Revisions: Budget and Program**

1. Whenever there is any material change in the content or administration of the project award as approved, the approved project grant/contract documents must be appropriately revised. The nature and extent of the request for revision will determine the action to be taken by DSAAA.
2. All project budget revisions shall be made in the manner prescribed by DSAAA. Revisions must also be justified in narrative form.
3. The following types of revisions shall require written approval by DSAAA. All such changes must be approved in writing before the revision may occur:
  - a. A change in any cost category, income, other non-federal cash, in-kind, etc. that significantly changes the overall project budget;
  - b. A change in the recipient of awards;
  - c. Significant changes in project outcomes;
  - d. Significant changes in program content
4. Revisions considered as minor may be made in writing, at the option of DSAAA.
5. Revisions (a) and (b) under No. 3 above must be made by DSAAA with a revised Notification of Grant Awarded (NGA)/Contract; revision (a) requires the grantee/contractor complete a revision of the approved budget included in the grant application/contract proposal; and revisions (c) and (d) may be made by letter.
6. Grantees/contractors considering a project revision should contact DSAAA's grant/contract manager for revision procedures, due dates, et al.

***NOTE:*** A budget over-expenditure of 20% or more in any single approved cost category (budget line item) requires a written explanation upon submission of the project's Final Financial Report.

#### **Assessment and Monitoring**

DSAAA requires assessment and monitoring of Title III grantees/contractors to ensure that funds are expended in keeping with the purpose for which they were awarded.

##### **A. Self-Assessment**

Each Title III grantee/contractor must have in place an ongoing plan for self assessment, monitoring and improving the quality of service provided by the project. At a minimum, this plan should include:

1. staff, and if applicable volunteer, performance appraisal protocols and;
2. client satisfaction protocols.

The plan should also include how the perspectives of older persons are gathered and utilized in

monitoring and improving service quality.

The project must also determine (measure) whether there has been improvement in the quality of service as a result of the project's quality assurance protocols.

## **B. Project Assessment**

### **1. Purpose**

Each grantee/contractor will be formally assessed by DSAAA at least annually prior to the end of the project year. The purpose of the project assessment will be:

- a. To give DSAAA a better understanding of the project's overall purpose, method of operation, and client population.
- b. To gain specific information about the project that would not be available through other sources, such as the written application or quarterly reports.
- c. To ensure grantees/contractors are in compliance with all civil rights and program accessibility requirements.
- d. To give grantees/contractors an opportunity to express their concerns, talk about problems, and request technical assistance if necessary.
- e. To provide DSAAA with general information on the methods and problems of service delivery for use in developing future priorities and program recommendations.
- f. To make judgments regarding whether or not the project is meeting all federal, state, local and DSAAA regulations and policies regarding program operations.
- g. To provide commendations for program achievements, make recommendations for improvement and identify items for corrective action.

### **2. Procedure**

- a. Project assessments are conducted by DSAAA staff and usually consist of an on-site visit. Board members, ACA members and/or MBA staff may also be involved.
- b. The grantee/contractor is notified in advance of the date of the assessment and is provided with a copy of the Title III Assessment Guide for review and preparation.
- c. The assessment is conducted with the project director and any other project staff, board members, etc. using the Title III-B, D & E Assessment Guide.
- d. Following the assessment, DSAAA staff will write a report including recommendations for improvement, if necessary. Compliance with any recommended corrective action must be documented by the grantee/contractor within the time prescribed by DSAAA.
- e. The grantee/contractor will receive a copy of the written assessment.
- f. DSAAA will follow up on corrective action and provide technical assistance when requested.

## **C. Project Monitoring**

DSAAA will regularly monitor Title III grantee/contractor activities through the following methods:

1. Assessing progress on project outcomes on a quarterly basis;
2. Reviewing and analyzing quarterly financial, program and statistical reports
3. Visiting program sites;
4. Phone conversations and office visits
5. Routine correspondence

**D. Close-Out Assessment**

1. Purpose

Each project will be formally assessed by DSAAA within three months following the close of its final project year. The purpose of the close-out assessment will be:

- a. To review with DSAAA the project's overall methods of operation and service delivery, major project outcomes and their results, and client benefits.
- b. To discuss whether or not the project is continuing independent of Title III funding and how client needs will continue to be met.
- c. To give project staff the opportunity to share successes, problems and lessons learned, to provide suggestions, and to request technical assistance from DSAAA.
- d. To inventory and make judgments regarding capital equipment purchased through the project.
- e. To provide commendations for program achievements and request items necessary for final project close-out.

2. Procedure

- a. Close-out assessments are conducted by DSAAA staff and usually consist of an on-site visit. Board members, ACA members and/or MBA staff may also be involved.
- b. The project director is notified in advance of the date of the assessment and is provided with a copy of the Title III Close-Out Assessment Guide for review and preparation.
- c. The assessment is conducted with the project director and any other project staff, board members, etc. using the Title III Close-Out Assessment Guide.
- d. Following the assessment, DSAAA staff will write a report including requested items necessary for final project close-out and prescribed timelines for submission of those items. If applicable, a Title III Equipment Inventory Release form will be included.
- e. A copy of the close-out documents will be provided to the project director.
- f. DSAAA will monitor submission of requested items and provide technical assistance when

requested and feasible.

## **E. Audit Requirements**

DSAAA has established audit standards that meet the minimum standards prescribed by MBA which are based on OMB Circular A-133.

1. All grantees/contractors must complete and submit to DSAAA the Single Audit Determination Form.
2. Upon receipt of the form, DSAAA will determine whether or not the grantee/contractor is subject to an on-site Financial and Program Compliance Review or an A-133 audit.
  - a. Grantee/contractor agencies who expend less than \$500,000 in federal funds are required to participate in an on-site Financial and Program Compliance Review. The review will be arranged and conducted by DSAAA staff and will address: allowable activities; allowable costs; eligibility; matching level of effort/client contributions; and reporting. Frequency of the review will be determined through a risk assessment; however, a review must be conducted on at least a bi-annual basis. A self assessment will not be accepted. Costs related to conducting the on-site review are the responsibility of DSAAA.
  - b. Grantee/contractor agencies who expend \$500,000 or more in federal funds (from all sources) are subject to an A-133 audit and must file a "Data Collection Form for Reporting on Audits of States, Local Governments and Non-Profit Organizations".
    - The grantee/contractor assumes the responsibility for the fiscal and contractual arrangements of the A-133 audit; however, the audit contract must have prior approval of DSAAA.
    - The grantee/contractor audit must be performed in accordance with OMB Circular A-133 and any federal law or circular superseding A-133.
    - The A-133 audit must be completed within nine months of the end of the project year or thirty days after the grantee/contractor receives the completed audit, whichever is earlier.
    - Grantees/contractors must furnish DSAAA with the following three schedules:
      - ✓ Statement of Assets, Liabilities and Fund Balance;
      - ✓ Statement of Revenues, Expenditures and Changes in Fund Balance;
      - ✓ Statement of Budgeted and Incurred Costs by Line Item.
    - The grantee/contractor must furnish the A-133 audit report and schedules to DSAAA. DSAAA will initiate the resolution process and will provide the grantee/contractor with an initial letter of resolution. Grantees/contractors will be requested to prepare a written response to all recommendations having to do with their grant/contract or agency. In addition, they will be required to take the necessary action for transfer of funds in order to close out the grant/contract award, i.e., requests for amounts due or payment of audit exceptions or over advances. The response from the grantee/contractor will be addressed to DSAAA. Responses will be reviewed by DSAAA and, upon their approval, the grantee/contractor will be provided with a final letter of resolution.

DSAAA has complete access to all grantee/contractor records and financial statements and may consult

with the audit firm to resolve questions of whether the responses adequately resolve audit recommendations. Grantees/contractors may appeal audit report recommendations as outlined in the Appeal Procedure section.

## **Suspension and Termination**

### **A. Suspension**

When conditions warrant, DSAAA may suspend project operations prior to the end of an approved project year. The following stipulations become part of the suspension and/or suspension process.

1. DSAAA must notify the grantee/contractor in writing of the action being taken, the reason for such action and the conditions of suspension. This notice must be given prior to the effective date of suspension and must note the right of the recipient to appeal such decision.
2. There can be no federal participation in any cost accrued by the project during a period of project suspension.
3. In suspending project operations, DSAAA must determine the amount of unearned Title III funds the grantee/contractor has on hand. The anticipated length of the project suspension and the amount of Title III fund balance on hand will dictate whether DSAAA will require the balance to be returned at the beginning of the suspension.
4. DSAAA may reinstate a suspended project if it determines conditions warrant such action. Such reinstatement will be made by issuance of a new NGA/contract.
5. Federal participation in project costs may resume immediately upon reinstatement, but not for any cost accrued during the period of suspension. The obligational authority unearned at the time of suspension becomes available for earning by the project at the previously established matching ratio.
6. Federal support shall automatically be terminated when such operations have been suspended for more than three consecutive months in any project year.
7. The grantee/contractor may appeal the decision to suspend according to the procedure identified in Appeal Procedure section of this document.

### **B. Termination**

1. When conditions warrant, DSAAA may terminate federal support for project operations prior to the end of an approved project year. The following are examples of reasons for which DSAAA may terminate federal support:
  - a. The grantee/contractor violates the conditions under which the project proposal was approved;
  - b. Program performance is inadequate;
  - c. Non-Federal resources are not available\*; and
  - d. Project operations have been suspended for more than three consecutive months in any project year.

2. To terminate a project, DSAAA must notify the grantee/contractor in writing of the action being taken and the reasons for such action. This notice must specify reports to be completed, the right of the grantee/contractor to appeal and the procedures to be followed for appeal.
3. If support for a project is terminated in the same Area Plan year in which it was awarded, the project's funds from that Area Plan year are then available to DSAAA and may be re-obligated to other projects.
4. When DSAAA receives a request to resume support for a project which was terminated, it should satisfy itself that the reasons for which support was terminated no longer exist. If DSAAA decides to reinstate support, it will issue a new NGA/contract. The funding ratio which applied at the time of termination shall apply at the time of reinstatement. The project year in which termination took place is then extended by no more than the length of time necessary to give a total of twelve months. Any funds awarded to such a reinstated project must be in the form of new obligational authority.
5. When federal support to a project terminates on completion of the final approved project year or earlier, the grantee/contractor must complete and submit a final project and financial report to DSAAA.
6. The grantee/contractor may appeal the decision to terminate according to the procedure identified in IV. Appeal Procedure of this document.

*\*DSAAA has the option of suspending support for such a project rather than terminating it, in the event that additional resources become available at a later date.*