Ohio Department of Health
Grants Administration
Policies and Procedures Manual

Chapter 200

Chapter: 200 Application Requirements		**Section (s):** 200.0 – 203.1
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This Chapter provides the process for submitting an application for an ODH grant.

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200.0 Application Process

1. The pre-award process begins when ODH publishes a program announcement regarding the availability of funds for a specified ODH health-related program.

2. The application preparation by the applicant/subgrantee interested in applying for funds.

3. The reviews of each application by ODH staff.

4. The recommendation to approve or disapprove the application for funding by authorized program staff to the Director of ODH.

200.1 ODH Application Package

The ODH Application Package contains:

1. Notice of Available Funds (NOAF),

2. Notice of Intent to Apply for Funding (NOIAF), and

3. The Request for Proposal (RFP).

The package is available on the Department's Website located at www.odh.state.oh.us/About ODH/ODH Grants/Grants Request for Proposals. Posting this information on our website enables potential applicants to determine whether to apply for funds, to understand how and by what criteria an application will be evaluated, and to know the obligations imposed on a successful subgrantee

Notice of Available Funds
The NOAF provides program specifications regarding the title and program regulations, eligibility, program period and ODH award amounts. The NOAF provides names and ODH resources related to the RFP.

Notice of Intent to Apply for Funding
The NOIAF is used to gather pertinent information from local agencies meeting the eligibility criteria and applying as the administrative agent. The applicant must complete the form provide the organization's tax identification number and legal name as it appears on the official IRS letter. (Competitive Process Only)

The NOIAF must be faxed or mailed to ODH per the instructions listed in the RFP by the due date indicated. The NOIAF is mandatory for agencies intending to apply for ODH grants.

Once ODH receives the completed NOIAF form, ODH will provide a program account number for your organization, and a GMIS training date will be designated. You may then proceed with the application process as outlined in the RFP. Organizations with previous GMIS training will automatically receive a program number upon receipt of a completed NOIAF form.

Request for Proposal (RFP)
The official written request, sent from ODH, which formally announces to local agencies the opportunity to apply for funding for a specific program. All RFP's follow a standardized format and include all requirements and assurances that a local agency must meet in order to be considered for funding.

Local agencies interested in responding to a RFP must read it thoroughly in order to adequately respond to the requirements of the funding program. The RFP provides detailed information about the background, intent, scope, policy and procedures, performance expectations, general information, and requirements associated with the administration of the grant.

201.0

Application

ODH's online Grants Management Information System (GMIS) automates the process for applying and submitting related grant information. An application for an ODH grant consists of a number of required parts – an electronic component submitted via an Internet Website and various paper forms and attachments. All the required parts of a specific application must be completed and submitted by the application due date. Eligible applicants are required to submit a grant application via GMIS. The applicant must provide complete and detailed information related to the program's administrative compliance, programmatic and financial needs.

The Program Unit that supervises the program will establish the program criteria, and narrative requirements that must be submitted as part of the application. The RFP for each program includes all requirements the applicant must meet in order to be considered for funding.

The completed application should be reviewed for accuracy and approved by a designated agency official prior to submission via GMIS. After all the required check marks are present, the submit button will be activated. Applications are time-dated upon actual submission via GMIS, or are automatically submitted by the system on the application due date @ 11:55pm. Any additional forms and required attachments that require signatures must be submitted by mail. Original signatures must be in blue ink.

Upon receipt, a message is sent to the valid e-mail addresses listed in the applicant agency's "Subgrantee Information Page," acknowledging ODH Internet submission.

201.1

Late Application

Applications are dated the time of actual submission via the Internet, or are automatically submitted on the application due date. The sections of the application and required "attachments" not electronically filed will be considered to be "on time" if they are postmarked or received at ODH on or before the established application due date.

Applicants should request a legibly dated postmark, or obtain a legibly dated receipt from the U.S. Postal Service, or a commercial carrier. Private metered postmarks shall **NOT** be acceptable as proof of timely mailing. Applicants can hand-deliver attachments to ODH, Grants Administration, Central Master Files; but they must be delivered by 4:00pm on the application due date. Fax attachments will not be accepted. The GMIS application and required application attachments received late will not be considered for review. **Both the application and any required attachments that are received or postmarked after the RFP due date will result in the entire application package not being considered for review.**

201.2

Application Guidance

The policies and procedures outlined below represent ODH's effort to maintain an uniform approach when administrating grants. As a pass-through entity, it is ODH's responsibility to assure adherence to the rules, regulations, and procedures imposed on them by federal, state and local laws to maintain compliance.

201.3

Application Access

An 11-digit program number is assigned by ODH to each prospective applicant upon receipt of a completed NOIAF, if competitive otherwise program number is generated at time of RFP posting of the ODH website. This number serves as the username when logging into GMIS. To enter GMIS: type the site address: http://gap.odh.state.oh.us.

201.4

Application Format

The Internet application submission consists of the following:

1. Application Information
2. Assurances
3. Budget
    a) Cover Page
    b) Personnel
    c) Other Direct Costs
    d) Equipment
    e) Contracts
    f) Confirmation of Contractual Agreements
    g) Section D
    h) Summary
4. Budget Certification
5. Program Narrative

The following forms, (available on the Internet) must be completed, printed, signed in **blue ink** with original signatures, and the original with the required number of copies mailed to the address listed below:

1. Signature Page
2. Electronic Funds Transfer (EFT) Form
3. Internal Revenue Service (IRS) W-9 Form

The following forms must be copied and mailed to the address listed below:

1. Current Audit (if not previously submitted)
2. Evidence of Liability Coverage (Non-Profit Organizations Only)
3. Evidence of Non-Profit Status (Non-Profit Organizations Only)
4. Attachments as required by the RFP (The original and the required number copies must be received by the designated application due date)

Ohio Department of Health
246 N. High Street
Grants Administration
Central Master Files, 4th Floor
Columbus, Ohio 43215

201.5

Application Instructions

The applicant should follow the instructions as outlined in the RFP. Because GMIS allows for more than one user at a time, it is important to save data frequently during extended use. For additional instructions, click the red question mark to gain access to the on-line GMIS User Manual. The following is an overview of the GMIS screens.

Subgrantee Information Page

The information present on this page is based on the NOIAF submitted by the applicant agency or a pre-existing grant with ODH. This predefined information should be verified and should be error free. If any of the information is incorrect, your designated Program Consultant should be notified immediately. To save this page, fields containing a red asterisk indicate required entries and must be completed in their entirety.

This document will serve as the basis for necessary communication between ODH and the subgrantee during the pre-award and post-award periods.

Assurances

ODH Federal and State Assurances for Subgrantees Form consolidates 25 agency requirements related to assurances. The form must be completed and submitted via GMIS. The Agency's head signature on the signature pages assurances section certifies that if audited, documentation is available to verify compliance.

Budget Cover Page

The subgrantee agency budget portion of the application explains the anticipated sources of funding for the program and the planned use of such funds is the program's financial plan. The budget should be directly related to and consistent with the program narrative.

1. Budget narrative: Provide a **detailed** narrative that describes the categorical costs. Discuss the necessity, reasonableness, and allocation of the proposed costs. Describe the specific functions of personnel, consultants, and collaborators. Explain and justify equipment, travel and training costs. Refer to Chapter 100 – Allowable and Unallowable Cost.

2. If required by the federal grant, the applicant agency must explain in detail how match requirements will be met.

3. Funds **MAY** be used to support personnel, training, travel, equipment and supplies directly related to planning, organizing, and conducting the initiative/program/activity. Copies of CCA's must be on file, via GMIS, prior to services being rendered.

Use of funds for prohibited purposes may result in the loss or recovery of grant funds.

All program expenditures must be in accordance with the approved program budget. The approved program budget is:

1. The budget as it appears in the initial application and approved by the Notice of Award (NOA).

2. The budget as amended by a subsequent budget revision and approved by ODH.

Guidelines for Completion of Budget Section
This section provides guidance for agency completion of the budget portion of the grant application. Completion of subsequent budget revisions is addressed in Chapter 300 – Budget Revisions.

The budget portion of an application will be resubmitted by ODH when the funding level, as stated on the NOA, differs from the amount requested in the initial application. All expenditures must be incurred within the grant year as stipulated on the NOA. The budget portion must also be resubmitted as a Budget Revision request to change funding amount, reallocation of program funds between categories, the addition of line items, increase in contractual line items, or change in quarterly allotments. For details regarding Budget Revisions and the Flexibility Policy, refer to Chapters 300.

Program expenditures will not be approved unless they are in accordance with a prior approved program budget. Program expenditures will not be approved retroactively. Any costs incurred by a subgrantee that are not included in an approved program budget will be borne by the subgrantee. Program expenditures will not be allowed when the budget application or budget revision request is submitted after the expenditure is incurred. The date of submission is the date the application or budget revision is received by ODH.

Any expenditure charged against a pending application or budget revisions are done at the risk of the subgrantee agency. In the event of disapproval, the expenditure must be paid from the agency's non-program funds.

When specific cost categories are unknown at the time of application, the budget may be submitted based on estimated expenditures, and a detailed description provided in the narrative listing services to be rendered and/or items to be purchased. Once the specific use of such funds is known, for contractual services a CCA must be submitted via GMIS.

Any significant change to the scope or the staffing of the program must be prior approved by ODH program staff. ODH may decide to increase or decrease its share of the program's financial burden, or terminate the grant, depending on the nature of the change(s) and its impact.

It is the responsibility of the subgrantee to request a budget revision upon anticipated changes in available program funds or program expenditures. In the event such changes effect the program's ability to reach its objectives, or alter its goals and objectives, the effect should be addressed in the revision request.

A budget line item must be classified under one of the following categories:

1. *Category A - Personnel:* Full or part-time subgrantee agency employees. WIC users only, be sure to enter information in the Nutrition, Clinic, Breastfeeding and Administration (hrs/wk/$y) fields.

2. *Category B – Other Direct*: All other allowable line items not included in the other categories (i.e., travel, office supplies, medical supplies, printing, utilities, etc.). WIC users only, be sure to also enter information in the Breastfeeding and Administration (hrs/wk/$y) fields.

3. *Category C - Equipment*: Items of equipment costing $300 or more per unit. WIC users only, be sure also to enter information in the Breastfeeding and Administration (hrs/wk/$y) fields.

4. *Category D - Contracts*: Services performed as a result of a contract other than purchased personal service contracts. WIC users only, be sure to also enter information in the Breastfeeding and Administration (hrs/wk/$y) fields according to the breakdowns described in categories A, B, and C above. (Refer to Chapter 100 – Allowable/Unallowable Costs for each category details.)

Subgrantee awards shall be made in amounts of no less than $30,000. The minimum amount is exclusive of any required matching amounts and represents only ODH funds.

Applications submitted for less than the minimum amount will not be considered for review.

Confirmation of Contractual Agreement

An online Confirmation of Contractual Agreement (CCA) form must be submitted via GMIS for each contract entered into by the subgrantee. ODH will not process expenses for contracts without an approved CCA on file. Any contractual changes require the submittal of a new CCA form. Do not submit actual contracts with attachments however, they should be made available during an ODH on-site audit or review.

Budget Summary

The budget summary represents the subgrantee's recap of available funding sources, budget categories and forecasted cash needs for the program. Distribution should reflect the best estimate of need by quarter.

Grant Funds **-** The state or federal funds awarded by ODH to a subgrantee to support the program and its allowable expenditures in accordance with the terms of the award.

Program Income **-** The gross income earned by activities supported by program funds. The use of program income along with subgrantee support comprises grant match or cost sharing. If the income generating activities are not entirely funded by program funds, an equitable income allocation system must be established to credit the program for its share of the income. The receipt and use of program income must be accounted for and documented. Program income can only be used for allowable program costs. Program income includes, but is not limited to, fees for services performed and/or goods provided, usage and rental fees, interest earned, copyright royalties, patent royalties, and sale of real or personal property. Gifts,

contributed goods and services, local government or agency participation and government revenues such as licenses, taxes, fines, penalties, special assessments or levies are not considered program income unless specifically designated as such by ODH. ODH does not recognize Medicare/Medicaid revenue as program income for grant purposes.

Applicant Share - The support provided by the subgrantee agency that is used along with the program income to match the grant funds in maintaining the program. Applicant contribution includes, but is not limited to, gifts received, contributed goods and services (in-kind match), local government or agency funds and government revenues such as license fees, taxes, fines, penalties, special assessments or levies. Applicant contribution is the excess of the matching funds expended during a grant year over the retained program income, program income received during the year, and the year's in-kind match.

The "Total" column is the sum of the "Amount of Award," and "Applicant Share," and "Program Income" Columns.

Budget Certification
The Budget Certification states the financial conditions for all ODH grant funds. The agency's head and financial designee must sign the Signature Page to activate the budget certification. By signing the form, the officers agree to comply with all financial conditions stated on the certification form.

Program Narrative
The applicant agency must address the following requirements:

1. The applicant agency must provide a brief synopsis of the purpose, methodology, and evaluation of the program. The applicant must indicate clearly and specifically the target population for the program. If the target population consists of all residents in the city or county, the applicant must discuss the demographics of the area. Descriptions of the program goals and methods that will be used to reach, involve, and serve the target population and a description of how the program will be evaluated must be included.

2. Problem/Need: The problem/need should reflect the objectives stated in the RFP. The specific health status concerns that the program intends to address may be described in terms of health status (morbidity and/or mortality) or health system (e.g., accessibility, availability, affordability, appropriateness of health services) indicators. The indicators should be measurable, in order to serve as baseline data upon which the evaluation will be based. Identify and describe the local (<u>do not</u> restate national and state data) health status concern that will be addressed by this program.

3. Description of Applicant Agency Documentation of Eligibility/Personnel: Briefly discuss the applicant agency's eligibility to apply. Summarize the agency's structure as it relates to the program. Note: Document any personnel or equipment deficiencies that will be addressed in order to complete the grant. Describe hiring and training plans as necessary. Delineate all personnel who will be directly involved in program activities. Include the relationship between the program staff members, staff members of the applicant agency, other partners, and agencies that will be working on the program. Include position descriptions for the staff.

4. Methodology: In narrative format identify the program goals, objectives, and activities. Indicate how the objectives will be evaluated to determine the level of success of the program. Complete a program activities time line to identify program objectives, activities, start and completion dates.

The program narrative is typed and submitted via GMIS.

Signature Page
The Signature Page is used to obtain the signature and title of agency officials authorized to confirm acceptance and agreement to comply with the state and federal laws, regulations, and provisions as outlined in the GAPP. And to ensure compliance with terms and conditions related to specific ODH programs.

The Signature Page must be printed, completed (signed and dated) in blue ink and mailed to the Central Master File address.

Electronic Funds Transfer (EFT) Form
Agencies funded through ODH must have the capacity to set up an EFT account. ODH uses the EFT account to make direct payment deposits on a quarterly/monthly basis. The EFT form must be completed, signed, and submitted as an attachment.

Any changes to the account information must be reported to ODH Grants Administration Unit **thirty (30) days prior to the actual change**.

Internal Revenue Services (IRS) W-9 Form
IRS W-9 certifies that the tax identification number (TIN) you have entered in the application is correct, that you are not subject to backup withholding, and claims exemptions from back-up withholding if you are an exempt payee. The form must be dated and signed with original signature in blue ink and submitted as an attachment.

ODH receives funds from both the Federal Government and the State of Ohio to award grants each year to eligible public health programs and organizations in Ohio. Each of the funding sources requires ODH to adhere to federal, state and departmental rules and regulations. According to the Code of Federal Regulations (CFR) and the Grants Administration Policy and Procedures (GAPP) manual, ODH is required to maintain in our files appropriate documentation to ensure ODH and subgrantee compliance with current guidelines.

Current Audit
An independent audit must be completed no later than nine months after the end of the agency's fiscal year for all applicants. Refer to Chapter 100 for details.

Evidence of Liability Coverage
The entity must submit all required ASSURANCES. The assurances submitted via GMIS for each applicant. The assurances shall be true and accurate. Any assurance found at the time of the audit to be untrue, shall cause immediate suspension of funds with an obligation to return any funds disbursed as a result of the assurances. Any costs incurred shall be the responsibility of the entity. Assurances shall include evidence of the appropriate liability insurance coverage. **(Non-profit organizations must submit a copy of the Certificate of Insurance as documentation validating current insurance coverage.)**

Evidence of Non-Profit Status

The Agency must prove ELIGIBILITY as a qualifying organization: local government, hospital, educational institution, or non-profit corporation. No entity shall be awarded which fails to provide substantiation of qualification for funding at the time of application. **(Non-profit organizations must submit a copy of the IRS Letter as documentation validating current status.)**

202.0 Application Review Criteria

ODH will make the final determination and selection of successful/unsuccessful applicants and reserves the right to reject any or all applications for any given RFP. There is not an appeal process after ODH's decision.

All proposals will be judged on the quality, clarity and completeness of the application. Applications will be judged according to the extent to which the proposal:

1. Contributes to the advancement and/or improvement of the health of Ohioans;
2. Is responsive to policy concerns and program objectives of the initiative/program/activity for which grant dollars are being made available;
3. Is well executed and is capable of attaining program objectives;
4. Describes specific objectives, activities, milestones and outcomes with respect to time-lines and resources;
5. Estimates reasonable cost to the ODH, considering the anticipated results;
6. Demonstrates that program personnel are well qualified by training and/or experience for their roles in the program and the applicant organization has adequate facilities and personnel;
7. Provides an evaluation plan, including a design for determining program success;
8. Is responsive to the special concerns and program priorities specified in the requests for proposal; and
9. Has demonstrated acceptable past performance.

Programs will include a scoring sheet and provide further details of scoring for all RFPs during competitive cycles.

Applicants should define program goals, objectives, and activities in the narrative portion of the application. The budget narrative of the application should include a detailed description of how the categorical costs are derived; and discuss the necessity, reasonableness, and allocability of the proposed costs.

ODH staff reviews the application via GMIS at which time comments and/or special conditions are applied. After final approval of the application, recommended funding levels are made to the Director of Health.

202.1

Enforcement of Conditions of Subgrants

Enforcement begins at the time of application. No applicant shall be funded where the terms and conditions of the RFP have not been met at the time of application. The following criteria are required before a recommendation of funding is forwarded to the Director of Health:

1. The applicant must prove ELIGIBILITY as a qualifying organization: local government, hospital, educational institution, or non-profit corporation. No entity shall be awarded which fails to provide substantiation of qualification for funding at the time of application.

2. The applicant must submit all required ASSURANCES. The assurances shall be current, that is, signed by the applicant in the calendar year of application. The assurances shall be true and accurate. Any assurance found at the time of audit to be untrue, shall cause immediate suspension of funds with an obligation to return any funds disbursed as a result of the assurances. Any costs incurred shall be the responsibility of the entity. Assurances shall include evidence of the appropriate liability insurance coverage.

3. The applicant must show in the application narrative and fiscal information sufficient CAPACITY TO ACHIEVE PROGRAM AND FISCAL OBJECTIVES. Letters of support shall be signed in the current fiscal year and be specific to the program objectives.

4. The applicant must demonstrate at the time of application the ability and willingness to comply with ALL federal and state laws, regulations and policies.

Conditional awards shall apply only to Item 3 above. Applicants with deficiencies related to Items 1, 2 and 4 shall not be funded.

It is the responsibility of the Assistant Director for Programs, the Division Chief, the Bureau Chief and the Program Consultant to ensure that all agencies are in full compliance with the above items at the time of funding recommendation to the Director. This applies to competitive and continuation programs.

203.0 Notice of Award

The Notice of Award (NOA) or its subsequent revisions signed by the Director of Health is the Department's official notification to the subgrantee of the grant award. The NOA along with the GMIS application constitutes the contractual understanding between ODH and its subgrantee.

The NOA is the legally binding document between ODH and the subgrantee, that a grant agreement has been entered between the two parties. It contains, or makes reference to all terms of the grant and documents the obligation of federal or state funds.

Other forms of awarding funds or authorizing expenditures of program funds, such as verbally or by letter, are unofficial and do not commit ODH.

The NOA states the following:

1. Date of Issue.
2. Subgrantee Name, Address, Phone number and name of Program Director.
3. Subgrantee Program Number.
4. Title of Program.
5. Budget Period.
6. Authorization of funding. (CFDA number if federal, House Bill number if state funded)
7. Amount of Federal funds, applicant share and program income, if applicable.
8. Percentage to be paid from ODH funds, GRF or federal funds, and not to exceed the approved budget amount.
9. Special conditions, as appropriate, that the subgrantee must meet if the subgrant is accepted. (Separate attachment)

Unsuccessful Applicants: After a decision has been reached either to disapprove or to not fund a grant application, the unsuccessful applicant will receive a written notice within 30 days after the decision.

203.1 Special Conditions

Special Conditions include terms and conditions of the grant award. They may include special provisions for audit, conferences, report of total federal expenditures, correction of program workplan deficiencies, and disposition of program income.

Responses to all special conditions must be submitted via GMIS when special conditions are displayed on GMIS. To access the special conditions go to the "Special Conditions" link. The link will be available **AFTER** the issuance of the NOA and initial payment. Once the "Special Conditions" link is available, response must be submitted within 30 days.

All correspondence concerning the subgrant should include the designated program number and be submitted to the ODH official address as indicated in the RFP.