

Ryan White HIV/AIDS Program Part B

It All Adds Up!

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Division of State HIV/AIDS Programs (DSHAP)

HIV/AIDS Bureau (HAB)

Health Resources and Services Administration (HRSA)



Health Resources and Services Administration (HRSA) Overview

- Supports more than 90 programs that provide health care to people who are geographically isolated, economically or medically vulnerable through grants and cooperative agreements to more than 3,000 awardees, including community and faith-based organizations, colleges and universities, hospitals, state, local, and tribal governments, and private entities
- Every year, HRSA programs serve tens of millions of people, including people living with HIV/AIDS, pregnant women, mothers and their families, and those otherwise unable to access quality health care



HIV/AIDS Bureau Vision and Mission

Vision

Optimal HIV/AIDS care and treatment for all.

Mission

Provide leadership and resources to assure access to and retention in high quality, integrated care, and treatment services for vulnerable people living with HIV/AIDS and their families.



Ryan White HIV/AIDS Program (RWHAP)

- Provides comprehensive system of HIV primary medical care, medications, and essential support services for low-income people living with HIV
 - More than half of people living with diagnosed HIV in the United States – more than 550,000 people – receive care through the RWHAP
- Funds grants to states, cities/counties, and local community based organizations
 - Recipients determine service delivery and funding priorities based on local needs and planning process
- Payor of last resort statutory provision: RWHAP funds may not be used for services if another state, federal, or private payer is available
- 84.9% of RWHAP clients were virally suppressed in 2016, exceeding national average of 59.8%



Source: HRSA. RWHAP Annual Client-Level Data Report 2015; CDC. HIV Surveillance Supplemental Report 2016;21(No. 4)



Learning Objectives

- Identify the authoritative source documents guiding the Ryan White HIV/AIDS Program (RWHAP) Part B
- Review the major RWHAP Part B legislative and programmatic requirements.
- Become familiar with the RWHAP Part B fiscal reporting requirements



Outline

- I. RWHAP Part B Basics and Background**
- II. RWHAP Part B Fiscal Requirements**
- III. Federal Financial Reports (FFR) and Penalties**
- IV. Key Resources**



I. RWHAP Part B Basics and Background



Relevant Authorities

- **Legislation:** Title XXVI of the Public Health Service Act, 42 USC. Section 300ff-11s as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (P.L.111-87)

*The RWHAP under Title XXVI of the PHS Act as amended by the Ryan White HIV/AIDS Treatment Extension Act of 2009 (Public Law 111-87, October 2009) authorizes **formula and supplemental grants** designed to assist states/territories in developing **comprehensive HIV/AIDS service delivery systems** that includes delivery of essential **core medical services and appropriate support services***

Available at <https://hab.hrsa.gov/program-grants-management/policy-notice-and-program-letters>

- **Regulation:** 45 CFR Part 75 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards
- Department of Health and Human Services (HHS) Grants Policy Statement

Available at <https://www.hrsa.gov/grants/manage/index.html>



Relevant Authorities

- HRSA HAB Policy Clarification Notices and Program Letters
- HRSA HAB RWHAP Part B Guidance
 - RWHAP Part B and ADAP Manuals
 - National Monitoring Standards – Program, Fiscal, Universal
- RWHAP Part B Notices of Funding Opportunity (NOFO)
- Notices of Award (NoA)
 - Grant, Program-Specific and Standard Terms
 - Reporting Requirements



RWHAP Part B Program

- RWHAP Part B of title XXVI of the Public Health Service Act (Public Law 111-87) provides **grants to States and Territories to improve the quality, availability, and organization of core medical services and support services.**
- **The AIDS Drug Assistance Program (ADAP) is a state and territory-administered program authorized under Part B that provides FDA-approved medications to low-income people living with HIV who have limited or no health coverage from private insurance, Medicaid, or Medicare. ADAP funds may also be used to purchase health insurance for eligible clients and for services that enhance access to, adherence to, and monitoring of drug treatments.**



RWHAP Part B Program

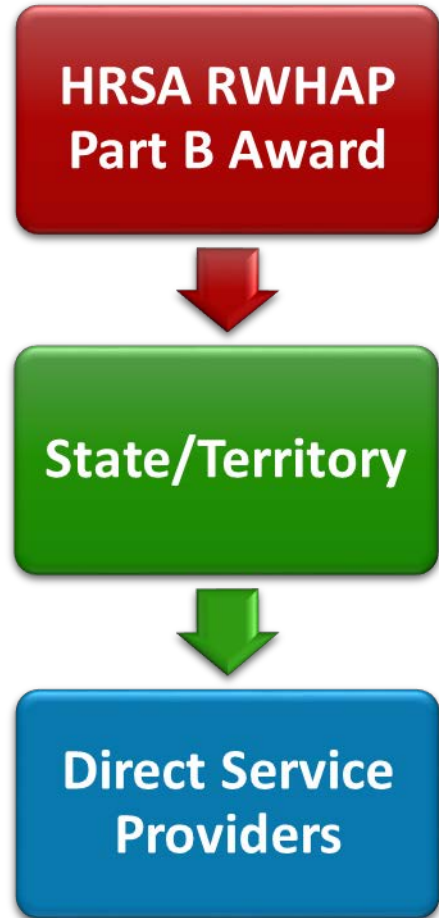
Through authorities established in the RWHAP legislation and the Section on 311(c) of the Public Health Service Act, HRSA HAB awards the following grants:

- **RWHAP Part B HIV Care Program (X07): Base Award, RWHAP AIDS Drug Assistance Program (ADAP), ADAP Supplemental, Emerging Communities and Minority AIDS Initiative (MAI)**
 - Budget Period: April 1- March 31
 - Current Project Period: April 1, 2017 – March 31, 2022 (5 years)
- **RWHAP Part B Supplemental Funds (X08): RWHAP Part B Supplemental award based on demonstrated need.**
 - Budget Period/ Project Period: September 30 – September 29 (one year)
- **ADAP Emergency Relief Funding (X09): Additional funds to address the ADAP crisis in the US**
 - Budget Period/ Project Period : April 1 – March 31 (one year)

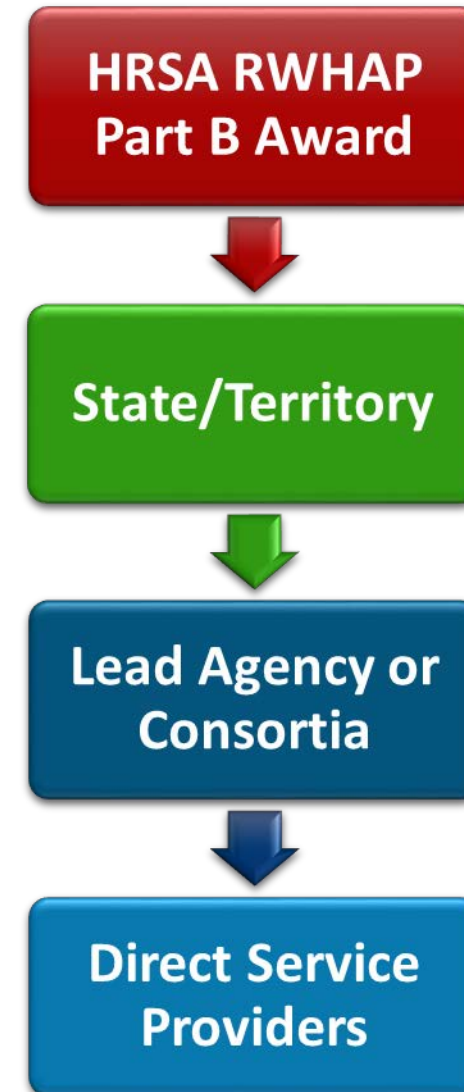


RWHAP Part B – State/Territory Models

Direct Service



Lead Agency/Consortia



RWHAP Clients and Services

Services are offered to Eligible Clients when...

- Individual is confirmed HIV positive
- Individual meets income eligibility requirements established by recipient
- Individual is uninsured or underinsured
- Annual certification and 6-month recertification process is completed

Allowable Services include...

- Core Medical Services
- Support Services

Policy Clarification Notice (PCN) #13-02: Clarifications on Ryan White Program Client Eligibility Determinations and Recertification Requirements

<https://hab.hrsa.gov/sites/default/files/hab/Global/pcn1302clienteligibility.pdf>

Policy Clarification Notice (PCN) #16-02: RWHAP Services: Eligible Individuals and Allowable Uses of Funds

<https://hab.hrsa.gov/program-grants-management/policy-notices-and-program-letters> *Recently Updated*



Questions



II. RWHAP Part B Fiscal Requirements



RWHAP Part B Fiscal Requirements

Fiscal implementation of the RWHAP award starts with requirements and terms set forth in the RWHAP legislation, HRSA HAB PCNs, NOFO, and NOA

- **Budget Development**
- **Unallowable Costs**
- **Payor of Last Resort**
- **State Match**
- **Maintenance of Effort (MOE)**
- **Imposition of Charges**
- **Financial Management**
- **Property Standards**
- **Auditing Standards**
- **Cost Principles**
- **Fraud, Waste and Abuse**



Fiscal Requirements

Budget Categories



Budget Development

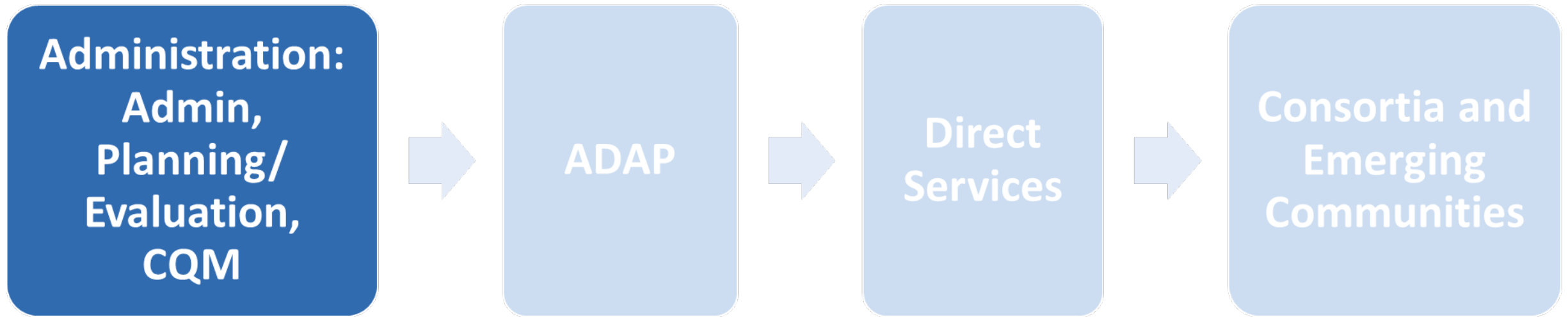
RWHAP Part B HIV Care Program (X07)

Budget Categories (used for SF-424)

- **Administration**, including administration, planning and evaluation, and clinical quality management
- **ADAP**, including medication and health insurance assistance
- **Direct Services**, including state/territory direct services (core medical and support), home and community-based care, MAI, and health insurance continuation
- **Consortia and Emerging Communities**



Budget Categories



Budget Category – Administration

Administrative Cost Allocations

- Recipients must know what is considered an administrative cost versus a direct cost
 - See PCN #15-01 Treatment of Costs under the 10% Admin Cap for RWHAP Parts A, B, C, and D <https://hab.hrsa.gov/sites/default/files/hab/Global/pcn1501.pdf>
- Recipients must have knowledge of subrecipient budgets
 - Obtain entire agency budget or budget for RWHAP-funded services
- Recipients and subrecipients must show how administrative costs are allocated across all funding sources



Budget Category - Administration

Recipient Level

- Administration – Capped at 10% of grant award, including indirect costs
- Planning and Evaluation – Capped at 10% of grant award
 - Administration and Planning/Evaluation Combined – Capped at 15%
- Clinical Quality Management – Capped at 5% of grant award or \$3 million, whichever is less

Subrecipient Level

- Administration – Capped at 10% of total allocation across all subrecipients for direct core medical and support services



Budget Category - Administration

Administrative Costs (10% Cap)

Recipient Level

- If a RWHAP Part B recipient contracts with a lead agency or consortia to provide statewide or regional RWHAP management and fiscal oversight (i.e., acts on behalf of the recipient), then the administrative cost of that contract counts toward recipient's 10% admin cap.

Subrecipient Level

- If a RWHAP Part B lead agency or consortia contracts with subrecipients to provide direct services, then those direct service providers are considered **first-line subrecipients of the lead agency or consortia** and are therefore subject to the aggregate 10% admin cap for subrecipients.



Budget Category – Administration

Planning and Evaluation Costs (10% Cap)

- Related to planning for use of RWHAP Part B funds and evaluating effectiveness in delivering needed services.
- Specific activities that P&E funds may support include:
 - Capacity building to increase the availability of services
 - Technical assistance to contractors
 - Program evaluation
 - Assessment of service delivery patterns
 - Assessment of need
 - Obtaining community input
 - Drug utilization reviews



Budget Category - Administration

CQM Costs (5% or \$3M cap, whichever is less)

- The RWHAP requires the establishment of a clinical quality management (CQM) program. A CQM program is the coordination of activities aimed at improving patient care, health outcomes, and patient satisfaction.
- It is important to know the difference between Quality Improvement (QI) and Quality Assurance (QA). You CANNOT charge QA to CQM. QA can only be charged to administration.

For more information see

- PCN #15-02 Clinical Quality Management at <https://hab.hrsa.gov/sites/default/files/hab/Global/clinicalqualitymanagementpcn.pdf>
- Frequently Asked Questions to PCN #15-02 at <https://hab.hrsa.gov/sites/default/files/hab/Global/clinicalqualitymanagementfaq.pdf>



Budget Category - Administration

Salary Limitations (Appropriations Act 2018)

- Salaries charged to HHS grants are limited to the Federal Executive Pay Scale Level II
- Individual's base salary, exclusive of fringe benefits and outside income earned
- Applies to subrecipients

See OPM website: <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2018/executive-senior-level>



Budget and Budget Narrative – Equipment and Supplies

Equipment and Supplies

Equipment- tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000

Supplies- tangible personal property other than those described in *Equipment*. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life

separate items into three categories: office supplies (e.g., paper, pencils), medical supplies (e.g., syringes, blood tubes, gloves), and educational supplies (e.g., brochures, videos).



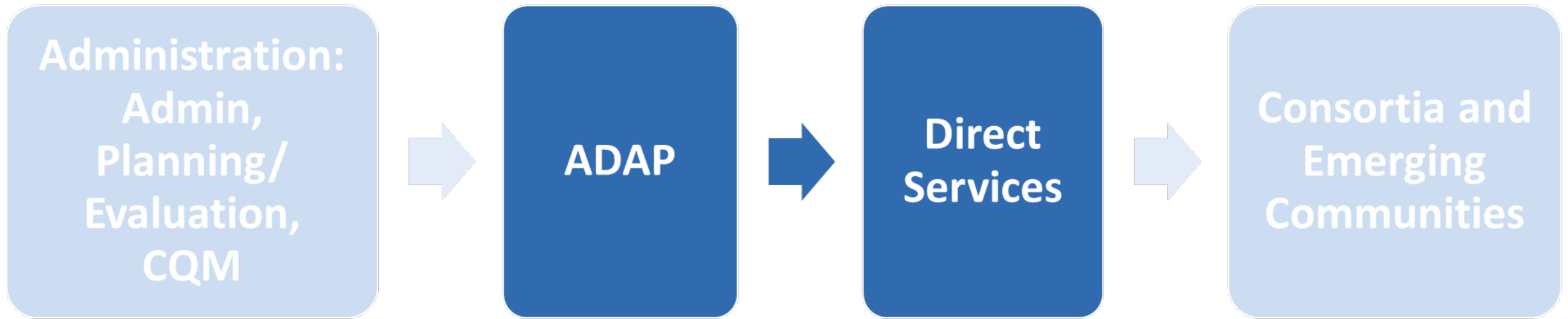
Budgets and Budget Narrative – Indirect Costs

Indirect (Facilities and Administration or F&A) costs means **costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable** to the cost objectives specifically benefitted, without effort disproportionate to the results achieved.

- **Governmental departments or agency units receiving more than \$35M in federal funds MUST have a federally negotiated indirect cost rate agreement (NICRA)**
- Recipients that do not have a federal NICRA may do one of the following:
 - Direct cost all expenses, or
 - Negotiate a rate with the Federal Government in accordance with 45 CFR part 75
 - De minimis rate of 10% of modified total direct costs (MTDC) (45 CFR part 75.414(f))



Budget Categories



Budget Categories – ADAP

- All dollars in ADAP Base need to be used for ADAP-related costs (even when carried-over).
- The three primary service areas covered by ADAP are full-pay medication assistance, health insurance assistance (including premium and medication co-pay assistance) and ADAP Flex (access, adherence and monitoring services related to ADAP)
- Costs related to the provision of medication (e.g., medication cost, cost of PBM, dispensing fee, etc.) are direct costs.

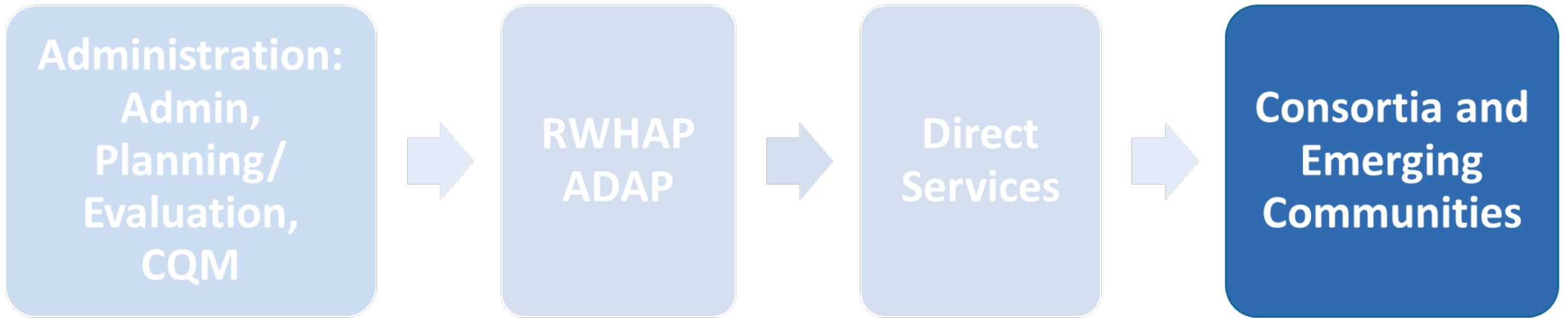


Budget Categories – Direct Services

- A minimum of 75% of direct service funds must be spent on **Core Medical Services**
 - Includes ADAP
- A maximum of 25% of direct service funds must be spend on **Support Services**
 - **Exception:** Recipients can apply for a Core Medical Services Waiver. See **HRSA HAB PCN #13-07: Uniform Standard for Waiver of Core Medical Services Requirement for Grantees Under Parts, A, B, and C**
 - **Service Category Definitions:** Policy Clarification Notice (PCN) #16-02: RWHAP Services: Eligible Individuals and Allowable Uses of Funds
<https://hab.hrsa.gov/program-grants-management/policy-notice-and-program-letters>



Budget Categories



Budget Category – Consortia and EC

Consortia

Consortia: An association of public and nonprofit healthcare and support service providers and community-based organizations with which the state/territory contracts to provide the following for a specific region(s) or the entire state/territory

- Needs assessment
- Planning
- Service delivery, either directly by consortia or by contract
- Program and fiscal monitoring, including evaluation
- Reporting, including required HRSA HAB and RWHAP Part B reports



Budget Category – Consortia and EC

Emerging Community

Emerging Communities (EC) Award: For eligible states/territories with jurisdiction(s) reporting between 500 and 999 cumulative AIDS cases over the most recent five years

- EC funds can only be used for services within the designated EC and are not eligible for carry over.
- Geographic boundaries for an EC may cross state lines. In these cases, states must collaborate on needs assessment and planning.
- For FY 2019, there are 16 emerging communities.



Funding Restrictions

In addition to the general restrictions included in Section 4.1.iv of the [SF-424 Application Guide](#), funds may not be used for the following:

- Charges that are billable to third party payers;
- Purchase or construction of new facilities or capital improvement to existing facilities;
- Purchase of or improvement to land;
- International travel;
- Cash payments to intended RWHAP clients (as opposed to non-cash incentives to encourage participation in evaluation activities);
- Pre-Exposure Prophylaxis (PrEP) or Post-Exposure Prophylaxis (nPEP) medications or related medical services (RWHAP recipients may provide prevention counseling and information to eligible clients' partners per Program Letter, 6/22/16);
- Syringe Services Programs (although some aspects are allowable with HRSA's prior approval and in compliance with HHS and HRSA policy);
- Develop materials designed to directly promote or encourage intravenous drug use or sexual activity.
- Other non-allowable costs in 45 CFR part 75 – subpart E, Cost Principles.



Fiscal Requirements

Budget Development



Budget Development – Account for All Resources

Recipients should budget for all resources across budget categories and consider how costs across funding streams will be allocated in the budget (e.g., salaries).

- Total Budget
 - Grant Award
 - Rebates
 - Program Income
 - Reimbursement
 - Non-Federal Funds



Budget Development – Account for All Resources

Program Income

Program income means gross income earned by the non-federal entity that is directly generated by a supported activity or earned as a result of the federal award during the period of performance.

PCN #15-03: Clarifications Regarding the Ryan White HIV/AIDS Program and Program Income
https://hab.hrsa.gov/sites/default/files/hab/Global/pcn_15-03_program_income.pdf



Budget Development – Account for All Resources

Program Income

- Recipients and subrecipients must pursue payment from Medicaid, Medicare or other health care coverage to further program objectives
 - If a service is billable to Medicaid, the subrecipient must be certified to bill and collect for the service
- Recipients do not collect program income from subrecipients but monitor subrecipient use of program income.



Budget Development – Account for All Resources

Pharmaceutical Rebates

ADAPs that purchase medications through a retail pharmacy network at a price higher than the [340B Drug Pricing Program](#) price can submit claims to drug manufacturers for pharmaceutical rebates on **medications or medication copayments, coinsurance, or deductibles** to achieve cost savings comparable to those received by RWHAP ADAPs that directly purchase medications at the 340B price.

(Rebate: a return of a part of a payment)

PCN 15-04 Utilization and Reporting of Pharmaceutical Rebates

https://hab.hrsa.gov/sites/default/files/hab/Global/pcn_15-04_pharmaceutical_rebates.pdf



Payor of Last Resort

RWHAP grant funds cannot be used to make payments for any item or service if payment has been made, or can reasonably be expected to be made with respect to that item or service under any State compensation program, under any insurance policy, or under any Federal or State health benefits program, or by an entity that provides prepaid health care.



Payor of Last Resort

Recipients and subrecipients must:

- Collaborate with Medicaid, Medicare, and other payers.
- Create appropriate accounting and billing systems to submit for reimbursement and track funds.
- Ensure budget and allocation plans include receipt and utilization of reimbursement from various payers.

Questions



Fiscal Requirements

Imposition of Charges



Imposition of Charges

- “Imposition of Charges” is a term used to describe all activities, policies, and procedures related to assessing RWHAP patient charges as outlined in legislation
- It’s the law!
 - Public Health Service Act Sections 2605(e), 2617(c), and 2664(e)(1)(B)(ii)
 - Based on individual (not family income)
 - Prohibits charges imposed on RWHAP patients with incomes below FPL
 - Requires charges imposed on RWHAP patients with incomes above FPL
 - Established annual caps on charges
- No RWHAP patient shall be denied service due to an individual’s inability to pay
- HRSA RWHAP statute does not require that patients that fail to pay be turned over to debt collection agencies



Imposition of Charges



Imposition of Charges Webinar on October 2

- HRSA HAB presented a technical assistance (TA) webinar on imposition of charges
- The recording and slide presentation are available on TargetHIV <https://targethiv.org/library/imposition-of-charges>



Fiscal Requirements

Cost Principles and Auditing Standards



HHS Uniform Administrative Requirements–45 CFR 75

45 CFR 75 codified in 2016 established requirements related to:

- **Cost Principles**

- Subpart E establishes principles for determining the allowable costs incurred by non-Federal entities under Federal awards.

- **Administrative Requirements**

- Subparts B through D set forth the uniform administrative requirements for grant and cooperative agreements, including the requirements for HHS awarding agency management of Federal grant programs before the Federal award has been made, and the requirements HHS awarding agencies may impose on non-Federal entities in the Federal award.

- **Audit Requirements**

- Subpart F sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of non-Federal entities expending Federal awards.



Cost Principles

- **Allowable §75.403**

- Conformance with limitations and exclusions contained in the terms and conditions of award

- **Allocable §75.405**

- Goods or services are chargeable or assignable to a specific grant, function, department, or other component (i.e., cost objective) in accordance with the relative benefits received or other equitable relationship.
- Allocable to grant if
 - incurred to advance work under grant,
 - benefits both grant and other work of organization, or
 - is necessary to overall operation of the organization and is assignable (at least in part) to the grant.

- **Reasonable §75.404**

- In its nature or amount, cost does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.



Post Federal Awards Requirements – Financial Management Systems

45 CFR 75.302 - Financial management and standards for financial management systems

- Identify and track funds received and expended
- Provide accurate, current, and complete financial results
- Compare actual expenditures with budgets
- Have adequate documentation to support expenditures
- Have adequate internal controls, including establishing and maintaining written procedures (§75.303)
- Have adequate subrecipient monitoring and management (§75.351-353)



Post Federal Awards Requirements – Financial Management Systems

RWHAP Part B recipients must establish standards, policies, procedures and systems at recipient and subrecipient levels for:

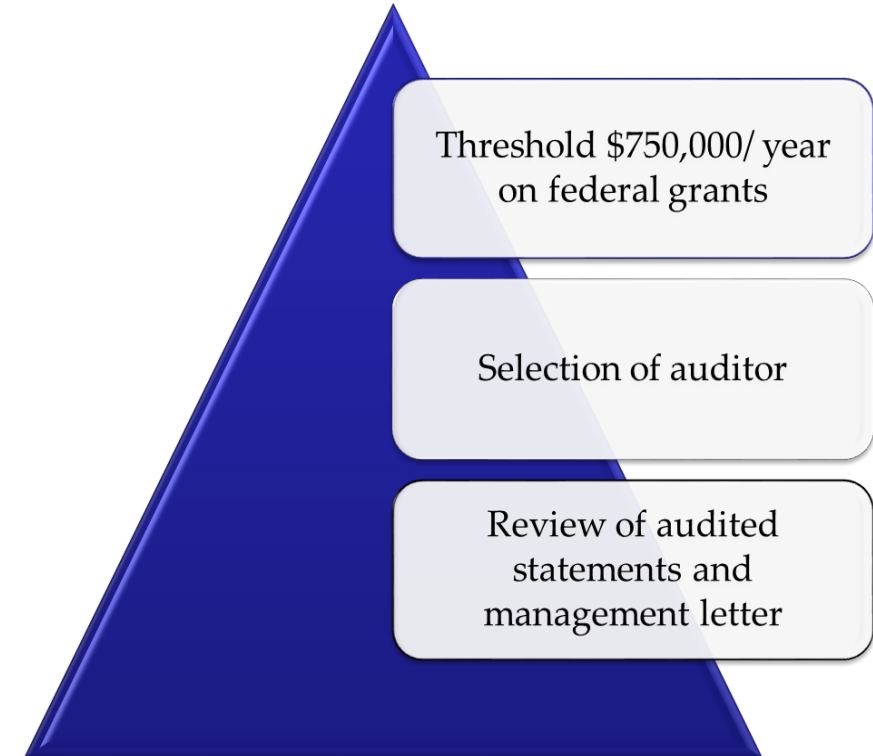
- Financial Policies and Procedures
- Recipient and subrecipient documentation requirements
- Processes and timeframes for payment/reimbursement
- **Processes to track all funds using general accounting practices, including income and expenses pertaining to the RWHAP Part B Program**
- **Processes to track expenditures by each component of the RWHAP B X07 Award (Part B base, RWHAP ADAP base, RWHAPADAP supplemental, Emerging Community, MAI)**
- **Processes to track expenditures by category – administration, clinical quality management, core and support services**



Uniform Administrative Requirements 45 CFR Part 75

Independent Audit Requirements

- Audit Requirements are set forth in 45 CFR Part 75, Subpart F
- Applies to recipients and subrecipients of RWHAP funds
- All recipients and subrecipients that expend more than \$750,000 per year in federal grants receive an audit annually



Fiscal Requirements

Property Standards

Fraud, Waste, Abuse



Property Standards

- **45 CFR 75.316–323 - Property Standards**
 - Uniform standards for management and disposition of property furnished by HRSA or charged to an HRSA award
 - Provisions are include for items such as insurance coverage, real property, equipment, intangible property, and property trust relationships.
- Certain reports related to property are required for applicable recipients.
- For property questions, HRSA has a dedicated mailbox at OFAMPropertyInquiry@hrsa.gov available to all recipients.



Fraud, Waste, Abuse

- 45 CFR 75.113, Mandatory Disclosures, notes that recipients or applicants must disclose, in a timely manner and in writing, all violations of federal criminal law potentially effecting the HRSA award.
- For suspected or identified fraud, waste, abuse, or mismanagement related to a HRSA award, HHS Office of Inspector General, call 1-800-HHS-TIPS (1-800-447-8477) or submit through the mail or electronically at www.oig.hhs.gov/fraud/report-fraud.



Questions



IV. Federal Financial Reports and Penalties



RWHAP Part B Interim FFR – 75% Obligation

- Used solely to report on compliance with RWHAP Part B 75% obligation requirement
- Must be submitted annually through the Electronic Handbooks (EHB) due date is 150 days after receipt of final award
- Used to report on obligations up to 120 days after receipt of final award
- The Reporting Requirements section of the NoA states specific due date



RWHAP Part B Interim FFR – 75% Obligation

- 45 CFR 75.2 (Subpart A, *Definitions*):

Obligations, when used in connection with a non-Federal entity's utilization of funds under a Federal award, obligations means **orders placed** for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.



Part B Interim FFR in EHBs

75% Obligation

10. Transactions	Hide Details Previously Reported	This Period	Cumulative
Federal Cash (To report multiple grants, also use FFR Attachment) (Use lines a-c for single or multiple grant reporting)			
a. Cash Receipts			\$0.00
b. Cash Disbursements			\$0.00
c. Cash on Hand (line a minus b)			\$0.00
Federal Expenditure and Unobligated Balance (Use lines d-o for single grant reporting)			
d. Total Federal Funds Authorized			\$32,664,524.00
e. Federal Share of Expenditures		9,382,993.81	\$9,382,993.81
f. Federal Share of Unliquidated Obligations			\$15,202,019.19
g. Total Federal Share (sum of lines e and f)			\$24,585,013.00
h. Unobligated balance of Federal Funds (line d minus g)			\$8,079,511.00
Recipient Share			
i. Total recipient share required	\$0.00	\$0.00	\$0.00
j. Recipient share of expenditure	\$0.00	\$4,691,496.91	\$4,691,496.91
k. Remaining recipient share to be provided (line i minus j)			\$0.00
Program Income			
l. Total Federal Program Income earned			\$0.00
m. Program income expended in accordance with the deduction alternative			\$0.00
n. Program income expended in accordance with the addition alternative			\$0.00
o. Unexpended program income (line l minus line m or line n)			\$0.00

**This line can be used on the
Interim FFR
(not the final FFR)**



75% Obligation Penalty

- Per legislation, recipients shall obligate 75% of their RWHAP Part B Base award within 120 days of receipt or receive 2 penalties:
 1. Reduction in current year award
 2. Not eligible for RWHAP ADAP Supplemental

Annual/Final FFR

- Must be submitted annually through the EHBs; due date aligned with PMS quarterly due date
- Used to report on annual expenditures, annual unobligated balances (UOB) by funding source, match amounts, and rebates
- The Reporting Requirements section of the NoA states specific due date



Annual/Final FFR – In EHBs

Transactions Section

10. Transactions	<u>Hide Details</u> Previously Reported	This Period	Cumulative
Federal Cash (To report multiple grants, also use FFR Attachment) (Use lines a-c for single or multiple grant reporting)			
a. Cash Receipts			\$0.00
b. Cash Disbursements			\$0.00
c. Cash on Hand (line a minus b)			\$0.00
Federal Expenditure and Unobligated Balance (Use lines d-o for single grant reporting)			
d. Total Federal Funds Authorized			\$34,280,775.00
e. Federal Share of Expenditures	\$7,564,590.50	\$4,586,476.40	\$12,151,066.90
f. Federal Share of Unliquidated Obligations			\$0.00
g. Total Federal Share (sum of lines e and f)			\$12,151,066.90
h. Unobligated balance of Federal Funds (line d minus g)			\$22,129,708.10
Recipient Share			
i. Total recipient share required	\$0.00	\$0.00	\$0.00
j. Recipient share of expenditure	\$3,782,295.25	\$13,358,092.25	\$17,140,387.50
k. Remaining recipient share to be provided (line i minus j)			\$0.00
Program Income			
l. Total Federal Program Income earned			\$0.00
m. Program income expended in accordance with the deduction alternative			\$0.00
n. Program income expended in accordance with the addition alternative			\$0.00
o. Unexpended program income (line l minus line m or line n)			\$0.00

10d. – Populated from EHBs- this is the total authorized amount and includes any carryover funds

10f. – This line cannot be used on the annual FFR



Match Requirements

State Match

Base and ADAP components of award
Section 2617(d)(1) of the PHS Act

For states/territories with
 $\geq 1\%$ of HIV cases nationally in last
two fiscal years

Begins at
\$1 for every \$5 in federal funds.
Increases to
\$1 in \$2 federal funds.

RWHAP ADAP Supplemental Match

Section 2618(a)(2)(F)(ii)(III) of the PHS Act

For states/territories eligible and
awarded ADAP Supplemental
Funding

\$1 for every \$4 federal in funds
(25% of award)

Can request a waiver if State Match
requirement is met

Annual/Final FFR In EHBs

Match Requirement

10. Transactions	<u>Hide Details</u> Previously Reported	This Period	Cumulative
Federal Cash (To report multiple grants, also use FFR Attachment) (Use lines a-c for single or multiple grant reporting)			
a. Cash Receipts			\$0.00
b. Cash Disbursements			\$0.00
c. Cash on Hand (line a minus b)			\$0.00
Federal Expenditure and Unobligated Balance (Use lines d-o for single grant reporting)			
d. Total Federal Funds Authorized			\$34,280,775.00
e. Federal Share of Expenditures	\$7,564,590.50	\$4,586,476.40	\$12,151,066.90
f. Federal Share of Unliquidated Obligations			\$0.00
g. Total Federal Share (sum of lines e and f)			\$12,151,066.90
h. Unobligated balance of Federal Funds (line d minus g)			\$22,129,708.10
Recipient Share			
i. Total recipient share required	\$0.00	\$0.00	\$0.00
j. Recipient share of expenditure	\$3,782,295.25	\$13,358,092.25	\$17,140,387.50
k. Remaining recipient share to be provided (line i minus j)			\$0.00
Program Income			
l. Total Federal Program Income earned			\$0.00
m. Program income expended in accordance with the deduction alternative			\$0.00
n. Program income expended in accordance with the addition alternative			\$0.00
o. Unexpended program income (line l minus line m or line n)			\$0.00

Cost sharing/matching requires completion of 10j. (ADAP Supplemental/ State Match)

Match Penalty

- If HRSA HAB discovers after the close of a grant budget period that a recipient has not met its match requirement on the Base and ADAP component of the award, the recipient must pay back improperly obligated funds under those components of the award.
- HRSA OFAM Division of Financial Integrity (DFI) will recoup the funds.



Match Requirement – On Notice of Award (NOA)

Match Summary

- State Match \$ _____
- ADAP Supplemental Match \$ _____
- Total Match Requirement \$ _____

The amounts of state and ADAP Supplemental Match can be found on the face page of the Notice of Award

i. Other:	\$0.00
j. Consortium/Contractual Costs:	\$0.00
k. Trainee Related Expenses:	\$0.00
l. Trainee Stipends:	\$0.00
m. Trainee Tuition and Fees:	\$0.00
n. Trainee Travel:	\$0.00
o. TOTAL DIRECT COSTS:	\$61,394,838.00
p. INDIRECT COSTS (Rate: % of S&WTADC):	\$0.00
q. TOTAL APPROVED BUDGET:	\$61,394,838.00
i. Less Non-Federal Share:	\$19,877,532.00
ii. Federal Share:	\$41,517,306.00

13. RECOMMENDED FUTURE SUPPORT: (Subject to the availability of funds and satisfactory progress of project)	
YEAR	TOTAL COSTS
Not applicable	
14. APPROVED DIRECT ASSISTANCE BUDGET: (In lieu of cash)	
a. Amount of Direct Assistance	\$0.00
b. Less Unawarded Balance of Current Year's Funds	\$0.00
c. Less Cumulative Prior Awards(s) This Budget Period	\$0.00
d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION	\$0.00

15. PROGRAM INCOME SUBJECT TO 45 CFR 75.307 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:
A=Addition B=Deduction C=Cost Sharing or Matching D=Other [A]
 Estimated Program Income: \$0.00

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:
 a. The grant program legislation cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 75 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS: (Other Terms and Conditions Attached [X]Yes []No)
 This award consists of the following amounts:
 FY14 ADAP \$6,916,056
 FY16 MAI \$427,673
 FY16 Formula \$9,484,776
 FY16 ADAP \$22,019,661
 FY16 ADAP Supplemental \$2,669,140
 Total FY16 Award \$41,517,306
 State Match \$19,210,247
 ADAP Supplemental Match \$667,285



UOB Requirement

- RWHAP Part B recipient are required to submit an estimate of their projected unobligated balance for the current grant year and an estimated carryover request.
 - Estimated carryover request must include the intended use of fund.
 - IF AN ESTIMATED UOB AND CARRYOVER REQUEST ARE NOT SUBMITTED, NO CARRYOVER WILL BE PERMITTED, with the exception of MAI
- RWHAP Part B recipient are required to obligate 75% of their award within 120 days of receiving their final award
- RWHAP Part B recipient are required to spend 95% (no more than 5% UOB) of their Base and RWHAP ADAP award by the end of the budget year.



UOB Penalty

- If UOB exceeds 5%, the recipient's future year Part B Base and ADAP Base awards are reduced by the amount of UOB less approved carryover.
- When recipient has UOB because it expended ADAP Base rebate dollars before grant dollars (as required), it may request that the amount of UOB be reduced by the amount of expended rebates.
 - UOB incurred as a result of expending rebates does not incur a penalty.
- Any amount of UOB not request and/or approved for carryover is subject to offset on current year award



Annual/Final FFR In EHBs – UOB

These amounts will auto-populate based on the awarded amounts reflected on the Notice(s) of Award (including carryover) (Can include new money and carry over)

The amounts in these 2 columns are base on the amounts reported by the recipient when the FFR is filled out (Will include UOB from previously approved carry over)

Unobligated Balance (UOB) of Federal Funds by Subprogram			
Category	Federal Funds Authorized	Unexpended Carryover	Current Year (FY 2014)
Part B Base	\$8,796,771.00	\$0.00	\$1,390,858.46
Part B ADAP	\$25,072,742.00	\$0.00	\$20,738,849.64
Part B Emerging Communities	\$0.00	N/A	\$0.00
Part B MAI	\$411,262.00	\$0.00	\$0.00
Part B ADAP Supplemental	\$0.00	N/A	\$0.00
Part A Transfer	\$0.00	\$0.00	\$0.00

These amounts are the unobligated balances of any funds previously carried over (and not expended), and not the amount of funds the recipient plans to carry over!



Annual/Final FFR - Rebate Section

- Must be reported by all recipients who generate rebates
 - ***Specific to the budget period***
 - Expended Rebates
 - Amount of rebates to be used to reduce UOB
 - Unexpended Rebates
 - ***Cumulative***
 - Total Rebates available
- Expended rebates reported here are used to determine UOB penalty.
- Note: Information on rebates received during the grant period (*this is the budget period*), rebates expended during the grant period (*this is the budget period*), and any remaining balance (*cumulative*) must also be provided in the “Comments” section



Annual/Final FFR In EHBs – Rebates

Amount of rebates received and requested amount to be used for UOB reduction, if any

Ryan White Rebate Funding	
Total Rebates Available	\$ 100.00
Expended Rebate Amount	\$ 50.00
Unexpended Rebates	\$ 50.00
Expended rebate amount to be used to reduce UOB	\$ 0.00



Annual/Final FFR - Rebate Section

If a recipient has an unobligated balance greater than 5% directly due to the receipt and expenditure of rebate funds, they must inform HRSA of this in order to not be penalized. This information is reported in the “Comments” section as follows:

- “The state of XXX is requesting that \$_____ of the unobligated balance be reduced by \$_____ of the obligated rebates funds and that such amount be carried forward to the next budget year”.

The reduction request cannot be more than the amount of UOB



FFR Review and Reconciliation

- The GMS FFR review consists of determining the accuracy and completeness of reported information
- This is done through a comparison of awarded amounts, expenditures, and financial reconciliation
- Financial reconciliation is the comparison of the data reported on the FFR, the data reported to the Payment Management System, and the amount of funds actually drawn from the account



Carryover Request & Approval Process

- Submitted with the FFR (July 30th) or 30 days after (August 30)
- Funds can only be used for core and support services **within the same sub-category**
- Request must include:
 - *Why the recipient was unable to expend the funds*
 - *Service categories the funds will be used for*
 - *Number of clients and units*
 - *New, Existing or Continuing service*
 - *Must be able to spend by the end of the grant year*
- Carryover Prior Approvals now include a system check to ensure that carryover amounts do not exceed available UOB by sub-category (FRML, ADAP, ADAP_SUPP, etc.)
- Prior approvals can be submitted with the FFR, but cannot be reviewed until the FFR is approved.
- Approval Process in EHB starts with Program and ends with DGMO
 - *Project Officer → Branch Chief → Deputy/Director → GMS*



Annual/Final FFR – Carryover Request

This represents the total UOB from all sources, and may include some amounts that are not eligible for carryover.

Carryover Request Decision		
You have reported unobligated balance in this Financial Report. The details are in the table below. Do you intend to request a carryover for this amount?		
Unobligated balance of federal funds:	\$ 22,129,708.10	
Select	Option	
<input type="radio"/>	Yes - for part of, or entire UOB amount, I will create and submit carryover prior approval within 30 days of Financial Report submission date	
<input checked="" type="radio"/>	No	
<input type="radio"/>	Not Applicable	
Carryover Request Information		
Tracking Number	Request Type	Request Status
		There is no Prior Approval Request

If a Prior Approval for carryover was submitted for this budget period, the PA tracking number will appear here.



Questions



V. Key Resources



Important Resources

- **HRSA Resource Page - Manage Your Grant**

<https://www.hrsa.gov/grants/manage/index.html>

- Uniform Administrative Requirements (45 CFR 75)
- Collection of policies, reports, tip sheets, trainings and other resources
- HIV/AIDS FFR Guide (for H89 & X07 UOB)

https://www.hrsa.gov/sites/default/files/grants/manage/hab_ffr_qrg.pdf

- **Ryan White HIV/AIDS Program Recipient Resources**

<https://hab.hrsa.gov/program-grants-management/ryan-white-hivaids-program-recipient-resources>

- RWHAP Legislation
- Policy Clarification Notices and Program Letters
- National Monitoring Standards – Program, Fiscal, Universal
- RWHAP Part B and ADAP Manuals



Contact Information

**Division of State HIV/AIDS Programs (DSHAP)
HIV/AIDS Bureau (HAB)
Health Resources and Services Administration (HRSA)
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ADDITIONAL SLIDES



Fiscal Requirements

State Match & Maintenance of Effort



HRSA RWHAP Core Medical Services

1. **AIDS Drug Assistance Program Treatments**
2. **AIDS Pharmaceutical Assistance**
3. **Early Intervention Services (EIS)**
4. **Health Insurance Premiums and Cost Sharing Assistance for Low-Income Individuals**
5. **Home and Community-Based Health Services**
6. **Home Health Care**
7. **Hospice**
8. **Medical Case Management, including Treatment Adherence Services**
9. **Medical Nutrition Therapy**
10. **Mental Health Services**
11. **Oral Health Care**
12. **Outpatient Ambulatory Health Services**
13. **Substance Abuse Outpatient Care**



Policy Clarification Notice (PCN) #16-02: RWHAP Services: Eligible Individuals and Allowable Uses of Funds

<https://hab.hrsa.gov/program-grants-management/policy-notices-and-program-letters>



HRSA RWHAP Support Services

1. Child Care Services
2. Emergency Financial Assistance
3. Food Bank/Home Delivered Meals
4. Health Education/Risk Reduction
5. Housing
6. Linguistic Services
7. Medical Transportation
8. Non-Medical Case Management Services
9. Other Professional Services
10. Outreach Services
11. Psychosocial Support Services
12. Referral for Health Care and Support Services
13. Rehabilitation Services
14. Respite Care
15. Substance Abuse Services (residential)



Policy Clarification Notice (PCN) #16-02: RWHAP Services: Eligible Individuals and Allowable Uses of Funds
<https://hab.hrsa.gov/program-grants-management/policy-notice-and-program-letters>



Match Requirements

- Ensures states/territories make available non-federal contributions to match the RWHAP Part B (X07) funding received (not expended)
- Listed on Notice of Award
- Requirement can be met through non-federal cash, donations (public or private in-kind resources), or rebates
- Must be documented and verifiable in recipient records
- Match must be reported on the Federal Financial Report (FFR)



Match Requirements

State Match

Section 2617(d)(1) of the PHS Act

For states/territories with
>1% of HIV cases nationally in last
two fiscal years

Begins at
\$1 for every \$5 in federal funds.
Increases to
\$1 in \$2 federal funds.

RWHAP ADAP Supplemental Match

Section 2618(a)(2)(F)(ii)(III) of the PHS Act

For states/territories eligible and
awarded ADAP Supplemental
Funding

\$1 for every \$4 federal in funds
(25% of award)

Can request a waiver if met State
Match requirement



Maintenance of Effort (MOE)

Section 2617(b)(7)(E) of the PHS Act requires states/territories to maintain HIV-related activities at a level that is equal to not less than the level of such expenditures by the State for the 1-year period preceding the fiscal year for which the State is applying to receive a grant.

MOE documented in

- Full grant application submitted year 1 of each 5-year project period
- Non-Competing Continuation (NCC) Progress Report submitted years 2-5 of each project period

