

114.5 CMR: DIVISION OF HEALTH CARE FINANCE AND POLICY
ADMINISTRATIVE SERVICES

114.5 CMR 10.00: CRITERIA AND PROCEDURES FOR AWARDING ONE-TIME GRANTS TO
NON-PROFIT PROVIDERS OF ELDER CARE SERVICES

Section

- 10.01: General Provisions
- 10.02: Definitions
- 10.03: Grant Application Requirements
- 10.04: Application Procedure
- 10.05: Materials to be Submitted by Applicants
- 10.06: Criteria for Awarding Grants
- 10.07: Review and Selection Procedure
- 10.08: Grant Contract
- 10.09: Severability

10.01: General Provisions

(1) Scope, Purpose, and Effective Date. 114.5 CMR 10.00 governs the procedures and criteria used to award one-time grants to providers of elder care totaling \$8.0 million, authorized by St. 2000, c. 236, § 2A. 114.5 CMR 10.00 specifies the grant disbursement procedures the Division will use to comply with the Office of the Comptrollers regulation 815 CMR 2.00. 114.5 CMR 10.00 is effective May 25, 2001.

(2) Authority. 114.5 CMR 10.00 is adopted pursuant to St. 2000, c. 236, § 2A.

10.02: Definitions

Commissioner. The Commissioner of the Division of Health Care Finance and Policy.

Committee. The grant review Committee established under 114.5 CMR 10.07(1).

Division. The Division of Health Care Finance and Policy established under M.G.L. c. 118G.

Low-Income. Low-income is defined by one or more of the following five measures:

- (a) Income of less than 300% of the 2001 Department of Health and Human Services Poverty Guidelines (also referred to as the “Federal Poverty Level”);
- (b) Eligibility for the MassHealth program;
- (c) Eligibility for Supplemental Security Income (SSI);
- (d) Involvement in an Aging Services Access Point (ASAP); or
- (e) Other widely recognized measure(s) of relative income.

Medical Equipment. Equipment directly related to the improvement of patient care and designed to improve the ability of staff to provide appropriate and economical care.

Non-Profit. An organization exempt from Federal income tax; and/or an organization incorporated under M.G.L. c. 180, § 3.

Other Charitable Organization for the Elderly. A non-profit organization located in Massachusetts that provides direct services to Massachusetts residents, with at least 50% of its client population over the age of 60. Provider advocacy groups and other organizations that do not regularly provide direct client services are not considered other charitable organizations for the elderly for the purposes of 114.5 CMR 10.02: Other Charitable Organization for the Elderly.

Underserved Populations. Underserved populations are defined by one or more of the following seven criteria:

- (a) Elders with one or more limitations in activities of daily living (ADL’s), who are not being assisted, either formally or informally. ADL’s include the following: eating; getting out of bed; getting around inside; dressing; bathing; and using the toilet.
- (b) Elders that have been, or are at risk of being, victims of elder abuse, which includes the following: physical abuse; sexual abuse; psychological abuse; financial or material exploitation; and neglect.

114.5 CMR: DIVISION OF HEALTH CARE FINANCE AND POLICY
ADMINISTRATIVE SERVICES

10.02: continued

- (c) Elders that lack access to health care, as evidenced by residence in primary care or mental health Medically Underserved Areas (MUA's) or Health Professional Shortage Areas (HPSA's), as designated by the Department of Health and Human Services.
- (d) Minority elder populations, defined as the following: Black (Non-Hispanic); Hispanic; Asian and Pacific Islander; or American Indian and Alaskan Native.
- (e) Elders living an isolated, sedentary lifestyle, thus not engaging in any social activity.
- (f) Elders that have a very poor diet, as defined by measures of dietary quality such as the Healthy Eating Index (HEI).
- (g) Other indicator(s) of populations with significant unmet needs, as demonstrated by residence in areas with unavailable services or services available only on a limited basis, that are deemed acceptable to the Division.

10.03: Grant Application Requirements

- (1) Eligible grant applicants are defined as the following:
 - (a) Non-profit organization located in Massachusetts and serving Massachusetts residents; and,
 - (b) One or more of the following providers of care to the elderly:
 - 1. Aging services access points;
 - 2. Nursing facilities;
 - 3. Home care providers;
 - 4. Councils on aging;
 - 5. Home health providers;
 - 6. Adult day care providers (providing adult and social services);
 - 7. Dementia-specific adult day care providers;
 - 8. Assisted living facilities;
 - 9. Other charitable organizations for the elderly approved by the Division.
- (2) All requests for grant funding must:
 - (a) Support the continuum of care for the elderly; and,
 - (b) Be used for conversion or start-up costs rather than ordinary operating expenses.
- (3) Specific requests for funding shall be limited to one of the following:
 - (a) Equipment purchases or upgrades that directly improve patient care;
 - (b) Conversion or renovation of existing space for the improvement of existing programs or the development of new programs; or,
 - (c) Acquisition and construction costs of new physical plant space for the development of new programs that shall include, but not be limited to, the following:
 - 1. Assisted living facilities;
 - 2. Congregate or shared housing facilities;
 - 3. Shelters for abused or homeless elders;
 - 4. Day care facilities (providing adult, social, and dementia services);
 - 5. Night care facilities;
 - 6. Medical clinics;
 - 7. Mental health or substance abuse clinics;
 - 8. Geriatric psychiatry units;
 - 9. Elder-to-work and teen-elder partnership cooperatives; and
 - 10. Respite care clinics.

10.04: Application Procedure

- (1) The Division is requiring Applicants to submit a letter of intent by April 27, 2001 (facsimiles sent to (617) 727-7662 will be accepted). The letter must include the name, address, and FEIN number (if available) of organization, and name, occupational title, telephone number, fax number and e-mail address of grant application contact. The letter must also state the type of grant for which the Applicant intends to apply (*i.e.*, equipment purchase/upgrade, conversion/renovation of existing space, or acquisition/construction costs of new physical space), and include an estimate of the amount of funding to be requested. A letter of intent is required in order to receive a grant.

114.5 CMR: DIVISION OF HEALTH CARE FINANCE AND POLICY
ADMINISTRATIVE SERVICES

10.04: continued

(2) Application Deadline. The Division must receive ten paper copies, plus one copy on diskette in Microsoft Word (any version other than Word 2000) or Corel WordPerfect, of the table of contents and narrative described in 114.5 CMR 10.05(1)(a) and (b) and the required financial information described 114.5 CMR 10.05(2)(a), (b) and (c), by 4:00 p.m. on April 30, 2001. The review Committee will not consider Applications received after that date and time. Applications must be submitted to the Division's offices at 2 Boylston Street, 5th floor, Boston, MA 02116, Attn: Elder Care Grant Review Team.

10.05: Materials to be Submitted by Applicants

- (1) All applicants must submit the following required programmatic material.
- (a) Table of Contents listing at least all of the items required in 114.5 CMR 10.05.
 - (b) Narrative. The narrative may not exceed six typewritten double-spaced pages, and must include the following items:
 - 1. Cover page with name, address, and FEIN number (if available) of organization; name, occupational title, telephone number, fax number and e-mail address of grant application contact; and name, occupational title and signature of the organization's representative that is authorized to execute a contract with the Division. The cover page must clearly state the total amount of grant funding requested and the type of grant for which the Applicant intends to apply (*i.e.*, equipment purchase/upgrade, conversion/ renovation of existing space, or acquisition/construction costs of new physical space).
 - 2. Narrative description of organization. This must include information on the number of clients and the geographic region it serves, as well as the types of services provided.
 - 3. Narrative summary of request for grant funding, justification for the amount of funds needed, and a timetable for the expenditure of grant funds, if approved. The summary must describe how the request will fulfill all the grant requirements listed in 114.5 CMR 10.03.
 - 4. Documentation of any efforts the applicant has made to secure grant funds for this project from other sources, if applicable.
 - 5. Listing of the source and amount of other funds that will be leveraged by the award of these grant funds, if applicable.
 - 6. Discussion of the future financial sustainability of this project if the funds are awarded.
- (2) All applicants must submit the following required financial material.
- (a) An overview of existing financial resources of the applicant through the submission of either 114.5 CMR 10.05(2)(a)1. or 2.:
 - 1. The most recent Uniform Financial Statement (UFR) submitted to the State Operational Services Division; or
 - 2. If the applicant did not submit a UFR to the State Operational Services Division in fiscal year 1999 or 2000, the applicant's most recent audit, certified financial statement or independent accountant's review report.
 - (b) A detailed plan of projected grant expenditure uses; and
 - (c) Projected revenue collections resulting from expansion, if applicable.

10.06: Criteria for Awarding Grants

The grant review Committee will evaluate all applications that meet all of the minimum requirements listed in 114.5 CMR 10.03 using the following criteria.

	<u>Points</u>
(1) Grant proposals that will benefit low-income populations, as defined in 114.5 CMR 10.02 and identified through the use of governmental data and/or individual program data.	0 – 25
(2) Grant proposals that will benefit underserved populations, as defined in 114.5 CMR 10.02.0 – 25	

114.5 CMR: DIVISION OF HEALTH CARE FINANCE AND POLICY
ADMINISTRATIVE SERVICES

10.06: continued

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| (3) Grant proposals that have future financial sustainability. | 0 – 20 |
| (4) For equipment purchases, requests for purchasing medical equipment as defined in 114.5 CMR 10.02. For conversion or renovation of existing space and for acquisition and construction costs of new physical plant space, requests for grant funding that will leverage other funds. | 0 – 15 |
| (5) Applicants that demonstrate that requested funds are not readily available from another funding source and that the applicant has some level of financial need. | 0 – 10 |
| (6) Applicants that will help to balance the geographic distribution of awards throughout the entire State. | 0 – 5 |
| | Total 0 – 100 |

10.07: Review and Selection Procedure

- (1) The Division will establish a grant review Committee, comprised of State agency staff. The grant review Committee will be composed of two separate Subcommittees. One Subcommittee will evaluate the programmatic material required in 114.5 CMR 10.05(1); the other Subcommittee will evaluate the financial material required in 114.5 CMR 10.05(2).
- (2) The Committee will review all applications to determine if they have fulfilled all the application requirements in 114.5 CMR 10.03 and have submitted all required materials in 114.5 CMR 10.05. Applications that do not meet all the requirements in 114.5 CMR 10.03, and/or have not submitted all required materials in 114.5 CMR 10.05, will not be further reviewed and will not be approved for funding.
- (3) The Committee will further review applications that meet all required application requirements in 114.5 CMR 10.03, and have submitted all required materials in 114.5 CMR 10.05, in accordance with the award criteria in 114.5 CMR 10.06. The Committee may request an Applicant to submit any additional information it deems necessary to complete its review, including an oral presentation. The Division must receive all requested additional materials within five business days of the Committee's request in order for the Committee to consider the additional materials.
- (4) The Committee will recommend to the Commissioner Applicants to receive grants, and the amounts to be awarded. The Committee may award an amount higher or lower than that requested by the Applicant. Awards will be made based on the availability of funds, the degree to which an applicant meets the criteria in 114.5 CMR 10.06, and the degree to which the grant meets the Applicant's need for such funding. The total amount of the grants awarded will be \$8.0 million. The maximum any individual grant applicant can be awarded will be \$1.0 million.
- (5) The Commissioner will make the final award decisions based on the recommendations of the Committee and the criteria in 114.5 CMR 10.06. The Commissioner's decisions are final and not subject to appeal.
- (6) The Division will notify all Applicants of their selection or non-selection for a grant.

10.08: Grant Contract

- (1) All Applicants selected to receive a grant must execute contracts with the Division, as required by 815 CMR 2.05, in order to receive payment.
- (2) The grant contract will specify, as applicable:
 - (a) any financial, programmatic, technical or other reporting the Division deems appropriate to monitor and evaluate the funded activities;

114.5 CMR: DIVISION OF HEALTH CARE FINANCE AND POLICY
ADMINISTRATIVE SERVICES

10.08: continued

- (b) any conditions or restrictions on the funding, including any monitoring of the grantee's operations;
- (c) any additional means the Division will use to hold the grantee accountable for proper performance under the grant;
- (d) with respect to grants under 114.5 CMR 10.03(3)(b) or (c), any deadlines for completing components of the project.

(3) The Division may cancel a grant if the grantee does not comply with the terms of the grant contract or if the grantee does not expend grant funds within a reasonable period of time.

10.09: Severability

The provisions of 114.5 CMR 10.00 are severable. If any provisions or the application of any provision to any provider of elder care services or circumstances is held invalid or unconstitutional, such invalidity shall not be construed to affect the validity or constitutionality of any remaining provisions of 114.5 CMR 10.00 or the application of such provisions to providers of elder care services other than those held invalid.

REGULATORY AUTHORITY

114.5 CMR 10.00: St. 2000, c. 236, § 2A.

114.5 CMR: DIVISION OF HEALTH CARE FINANCE AND POLICY
ADMINISTRATIVE SERVICES

NON-TEXT PAGE