

## CATCH Fiscal Guidance: What to Know During the Application Process

This document outlines specific information that a CATCH applicant needs to understand and communicate to the organization serving as their fiscal agent. Use the links to jump to each section:

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### Overview of CATCH Program and Timeline:

The [Community Access to Child Health \(CATCH\)](#) Program is a national initiative of the American Academy of Pediatrics (AAP) that supports pediatricians to lead innovative, community-based initiatives that increase children's access to optimal health or well-being. Grants of \$10,000 are available for pediatricians or fellowship trainees and grants of \$2000 are available for pediatric residents for planning or implementation grant projects. The current timeline for CATCH application development begins in late October/early November with an application deadline in mid-January. Applicants will be notified of the status of their application in April and funded grantees are expected to begin their projects in June.

**CATCH applicants must identify a fiscal agent to administer the funds if the grant is awarded. Beginning in the 2022 application cycle, the fiscal agent must be identified as part of the application process.**

**NOTE:** CATCH grants are competitive; approximately 25%-30% of applicants get funded each cycle. Although fiscal agents play a critical role in the CATCH process and are only required for funded grants, they need to be identified during the application process.

Applicants, grantees, and fiscal agents also can access the [CATCH Grantees FAQ](#) information, which includes more information about the CATCH funded grant processes.

### FOR APPLICANTS

#### **During the Application Phase:**

- Applicant should review this document to understand the role of a fiscal agent and CATCH fiscal guidance processes.
  - **A fiscal agent is a non-profit, tax-exempt organization** that you appoint to receive your grant award distributions (if funded). The fiscal agent will *deposit your funds and write checks* to providers for services rendered (eg, your project staff, consultant, a print shop for materials printed), or to reimburse you for expenses incurred, such as the purchase of refreshments or meals for meetings or incentive gift cards for focus group participants.
  - Current budget guidance does **not** allow the fiscal agent to receive any fee for this assistance to a CATCH applicant/grantee. This should be discussed up front with a potential fiscal agent.
- Applicant should share this guidance document and their draft budget and timeline, at minimum, with the proposed fiscal agent. During the development of the application, it is important to engage in conversation with everyone involved to determine feasibility of proposed resources and the grant timeframe.
- Applicant should identify a fiscal agent and should receive approval from the fiscal agent to serve in that capacity, prior to submitting an application.
- Within the online application, there is a question to document that the applicant has a fiscal agent identified; a letter of support that identifies the fiscal agent and notes their willingness to serve in this role should be attached at the end of the application (a [sample letter template](#) is available). Applications without a consenting fiscal agent may not be processed.

## FOR FISCAL AGENTS

A CATCH applicant must identify a fiscal agent to administer the funds if the grant is awarded. A fiscal agent is a **non-profit, tax-exempt organization** that is identified by the applicant to receive a CATCH grant award distribution. The role of the fiscal agent is to *deposit the grant funds and write checks* to providers for services rendered (eg, project staff, consultant, a print shop for materials printed), or to reimburse them for expenses incurred, such as the purchase of refreshments or meals for meetings or incentive gift cards for focus group participants.

Below is background information to provide a fiscal agent with an overview of the CATCH fiscal processes for both the application phase and for funded CATCH grantees.

### **During the Application Phase**

The current timeline for CATCH application development begins in early November with an application deadline in mid-January. Beginning in the 2022 application cycle, the fiscal agent **must** be identified as part of the application process.

- Current budget guidance does **not** allow the fiscal agent to receive any fee for this assistance to a CATCH applicant/grantee.
- Applicant should share this guidance document and their draft budget with the proposed fiscal agent. It is important during the development of the application, that the potential fiscal agent and the applicant have conversations to determine feasibility of proposed resources and the grant timeframe, as well as to establish a clear understanding of expectations.
- Within the online application, there is a question to document that the applicant has a fiscal agent identified. As of the 2022 application cycle, the grantee will be asked to submit a letter of support from the identified fiscal agent representative that notes their willingness to serve in this role (a [sample letter template](#) is available). The letter of intent from the proposed fiscal agent will need to be attached by the applicant at the end of the application prior to submission. Applications without a consenting fiscal agent may not be processed.

### **At the Award Notification Phase**

- The applicants are notified in April as to whether they are funded for a CATCH grant. At that time, fiscal agents are asked to work with the grantees to complete and submit the grant award documents. For awarded grantees, the following documents will be requested:
  - Signed Grant Award Agreement
  - Fiscal Agent Letter (agreement to manage funds – a template is provided with notification materials)
  - **Federal** Tax-Exempt Status letter (from the fiscal agent)
  - W-9 from the fiscal agent.
- The fiscal agent should receive a copy of the approved budget by the grantee. During the application scoring process, the reviewers may request the funded grantee to revise the budget prior to funding being disbursed. If the budget is revised the fiscal agent should be notified and receive a copy.
- The fiscal agent and grantee need to work together to determine an internal process for submitting expenses for payment and tracking of receipts/expenses. It is the expectation that the grantee will track their budget expenses and retain copies of receipts. The grantees may have varying levels of experience in these fiscal tracking processes.

#### Example from one fiscal agent regarding processes established for a CATCH grant

- If asked to serve as the fiscal agent, request a copy of the grant and the budget.
- Check comes to the fiscal agent and is deposited, then notify the grantees that funds have been received and can now be spent. The check does **not** get paid out to the individual grant recipient(s); rather it must go to an organization (the organization serving as fiscal agent).
- Provide information to grantee on how to submit for reimbursement or payment and any other relevant policies or procedures
- Fiscal agent should be copied on all grant reports.

- The fiscal agent should use or adapt current systems and best practices for processing expenses and for documenting/tracking total expenses against the approved budget.
- Fiscal agent should recommend how often the grantee and fiscal agent should communicate to make sure that processes are working efficiently and to receive updates on budgeted vs actuals spent to date.

### **During the Project/Grant Period**

- The fiscal agent should receive regular updates from the grantee, ideally via email, including whether the project is moving forward as planned, as well as if the grantee submits a budget revision or grant extension request.
- If during the project timeline, the grantee anticipates changes to the project activities and budget, they should provide a written update to [CATCH staff](#) and copy the fiscal agent. A grantee may submit a budget revision if their project goals remain the same. It is the grantee's responsibility to determine if there is the need to revise the budget, and to submit the appropriate paperwork. Once a revised budget is approved by CATCH staff, the grantee will need to convey any approvals/documentation to the fiscal agent.
- Although the expectation is that the project will be completed in 12 months, grantees are allowed to request up to one 6-month extension. Grantees submit an extension request form to [CATCH staff](#); once approved they must convey approved extension requests to the fiscal agent.

### **At the end of the Project/Grant Period**

At the end of the project, all grantees are asked to submit both a final report (via an online survey), as well as a simple financial report (based on the last approved budget) along with submission of appropriate receipts/documentation. The grantee is responsible for ensuring that all receipts and documentation are in order for submission and may contact the fiscal agent to verify the final accounting for grant funds expended. If there are unused funds, the fiscal agent, per the grantee's request, should have a check written to the American Academy of Pediatrics.

## **ADDITIONAL INFORMATION FOR AAP CHAPTERS SERVING AS FISCAL AGENTS**

- Current budget guidance does not allow the fiscal agent to receive any fee for this assistance to a CATCH applicant/grantee. The AAP chapter can request that the grantee provide brief updates and complete certain additional deliverables related to the CATCH project during and at the end of the project. The specifics should be mutually determined between the AAP chapter and the grantee. This can include, but is not limited, to:
  - plans to promote the award recipient
  - submit a newsletter article about the project and/or a story of a family impacted by the project,
  - present a poster at the chapter meeting,
  - download and submit copy of final report to chapter Executive Director and/or chapter leadership
- It is noted in the Call for Proposals and documented within the application that all CATCH grantees must be a member in good standing for both AAP national and their AAP chapter.
- AAP chapter Executive Directors will be notified when a CATCH grant has been awarded in their chapter.

*Updated: 10/24/22*