Lifespan Respite Care Program
Program Announcement and Grant Application Instructions

U.S. Administration on Aging
May 2009
Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center: Center for Program Operations

Funding Opportunity Title: Lifespan Respite Care Program

Announcement Type: Initial

Funding Opportunity Number: HHS-2009-AoA-LR-0916

Catalog of Federal Domestic Assistance (CFDA) Number: 93.072

Key Dates:

✓ Letters of Intent due: June 19, 2009
✓ Open Information Teleconference for Applicants: June 10, 2009, 2:00 PM Eastern Time. Telephone Number: 1-888-831-8978 (Toll Free) Participant Pass Code: 52871
✓ Application deadline: The deadline date for submission of applications is 11:59 p.m., Eastern Time, on July 29, 2009
✓ Projected Start Date: September 30, 2009

Overview

The U.S. Administration on Aging (AoA) is providing this competitive grants opportunity to eligible state agencies for implementing the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-716). Lifespan Respite Care programs are coordinated systems of accessible, community-based respite care services for family caregivers of children or adults of all ages with special needs.

The AoA plans to fund approximately 10-15 grants under this Announcement, with a federal funding level of up to $200,000 per award for a 36 month project period. Eligible state agencies funded under this announcement shall use grant funds for the purposes of planning, establishing and expanding/enhancing Lifespan Respite Care systems in the states, including new and planned emergency respite services, training and recruiting respite workers and volunteers and assisting caregivers with gaining access to needed services. Eligible recipients of respite services under this Program Announcement include family members, foster parents, or other adults providing unpaid care to adults who require care to meet basic needs or prevent injury and to children who require care beyond that required to meet the basic needs of the child and who might not otherwise have access to other types of respite services.

This is a limited grant competition. Awards will only be made to eligible state agencies who:

• Administer the State’s programs under the Older Americans Act of 1965;
   or
• Administer title XIX of the social Security Act; or
• Are designated by the Governor of the State to administer the State’s programs under this title; **AND** who are
• An aging and disability resource center working in collaboration with a state respite coalition or organization.

The applicant must demonstrate the support and active involvement of a range of government and non-government, private, nonprofit and other organizations with a stake in serving populations eligible to receive services under the Lifespan Respite Care Act. Only one application per State will be funded. Once funded, grantees will be expected to collaborate with multiple state and local agencies representing all ages, populations and disability/disease groups in planning and carrying out the requirements of the project.

**Prospective applicants should be sure to read, understand and fully respond to all requirements of this announcement.**

**I. FUNDING OPPORTUNITY DESCRIPTION**

**Statutory Authority**

The statutory authority for grants under this program announcement is contained in Title XXIX of the Public Health Service Act (42 U.S.C. 201 et seq.), as amended by the Public Health Service Act P.L.109-716. (Catalog of Federal Domestic Assistance 93.072)

**Purpose**

The U.S. Administration on Aging (AoA) is providing this competitive grants opportunity to assist eligible state agencies to implement the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-716). Eligible State agencies receiving funding under this Announcement will work through aging and disability resource centers and in collaboration with state respite coalitions or other state respite organizations to enhance and expand the availability of Lifespan respite services in the state.

Successful applicants under this competitive grants opportunity will be required to establish state and local coordinated Lifespan Respite Care systems to serve family caregivers regardless of age or special need of the care recipient. Grantees will also be required to develop and provide new and planned emergency respite services, train and recruit respite workers and volunteers and assist caregivers in gaining access to respite care services. Eligible respite recipients include family members, foster parents, or other adults providing unpaid care to adults who require care to meet basic needs or prevent injury and to children who require care beyond that required to meet the basic needs of the child. Programs developed under this Announcement must, from the outset, address the respite needs of all age and disability/special needs populations. No phase-in or preferences for specific age groups or disability categories will be permitted.

An applicant applying for grants funds under this announcement should be aware that **this is a highly competitive opportunity**. Limited funds are available to support applicants’ proposed projects. Therefore only those applications deemed to show the greatest
likelihood of implementing or enhancing lifespan respite care statewide from those states that are building or enhancing the capacity of their long-term care systems to respond to the comprehensive needs, including respite care needs of their residents, will be selected for funding.

Background

Who are caregivers?

Caregivers have often been called the backbone of America’s long-term care system. On a daily basis, these individuals assist relatives and other loved ones with daily tasks ranging from assisting with personal care and homemaking to carrying out more complex health-related interventions like medication administration and wound care. It is estimated that in 2007 nearly 34 million caregivers were providing care to someone at any given point during the year, while a total of 52 million adults provided care to someone at some point during that same year.¹

Caregivers may be found in every community and come from every walk of life. Caregivers are male and female, younger and older, and may or may not possess adequate financial resources to meet their own daily needs or the needs of those for whom they care. Research has shown the “typical” caregiver to be a 46 year old woman who works outside the home and spends more than 20 hours per week providing unpaid care to her mother.² However, there are growing numbers of caregivers needing respite services that do not fit this typical profile, including:

- Caregivers “sandwiched” between two generations of individuals needing care: young children and aging family members;
- Grandparents or other relatives of children, with or without disabilities;
- Younger individuals caring for a parent, grandparent or sibling;
- Family caregivers caring for adults over the age of eighteen with special needs; and
- Families of military personnel returning from combat with traumatic brain injuries, and other serious chronic and/or debilitating conditions.

While the spectrum of individuals classified as “caregivers” is growing in number and diversity, one fact remains: caregivers often do not recognize the fact that what they are doing is caregiving. Most often, caregivers view their work as fulfilling a familial role. Caregivers often do not know how, nor do they want, to ask for help. However, if they do ask for assistance, they often encounter fragmented, narrowly targeted programs or are unable to afford the respite options available to them.³ Many others simply lack sufficient information about where to find respite providers or how to choose from among those that are available.

Research has also shown that while caregiving can be a very rewarding experience for many, it is also stressful and can impact caregivers’ lives in many ways, including declining health, forced changes in employment, and additional competing demands from other family members. A 2006 study found that caregivers often report deteriorating health as a result of the care they provide. Caregivers surveyed in this study most often reported energy and sleep problems, stress and/or panic attacks, physical pain, and depression among those health factors to worsen as a result of the care they provided.4

For the purposes of this Program Announcement, caregivers include grandparents of any age who are primary caretakers of children or adults with special needs. Further, “unpaid family caregivers” are those caregivers who do not receive funding to provide care as their primary means of income. It is anticipated that some caregivers accessing a Lifespan Respite Program may also receive minimal payments from State or Federal sources (e.g., HCBS waivers, Independence Plus, 1115 Waivers, etc.), however this is not to be considered a primary source of income.

What is Respite?

Respite provides temporary relief for caregivers from the ongoing responsibility of caring for an individual of any age with special needs. Respite does much to strengthen the family system while protecting the health and well being of both caregiver and care recipient. Respite is a key component of family support and long-term care services. The Lifespan Respite Care Act defines respite care as “planned or emergency care provided to a child or adult with a special need in order to provide temporary relief to the family caregiver of that child or adult."

Currently, several Federal, state and private programs support or have the potential to support planned and emergency or crisis respite care for caregivers. Examples of Federal programs that may provide respite services include (but are not limited to) Medicaid waivers, Child Welfare Services block grants, State Developmental Disability Councils, the Alzheimer’s Demonstration Program, and the Older Americans Act, National Family Caregiver Support Program (NFCSP). Each program often contains specific eligibility requirements in order to receive services, thus creating difficulties in accessing services and gaps in service availability.

In recent years, both Congress and the Executive Branch have placed greater emphasis on respite care as an essential component of long-term care support options. For example, the Older Americans Act Amendments of 2000 created the National Family Caregiver Support Program (NFCSP). The NFCSP provides a range of services designed to meet the diverse needs of caregivers, including respite, access assistance and caregiver training and education.

Section 1915(c) and 1115 Medicaid waivers include provisions for respite care and permit states to include respite as a service options available under these programs. The Real Choice Systems Change Grants begun in 2003 included respite care feasibility studies and demonstration grants. Several demonstration projects and model grants included respite.

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care for families of children with developmental disabilities. Other initiatives such as Money Follows the Person recognized the crucial role of respite care in allowing families to continue providing care at home.

Additionally, to encourage states to develop models of assistance for persons with Alzheimer’s disease, and to encourage close coordination and incorporation of those services into the broader home and community-based care system, Congress created the Alzheimer’s Disease Supportive Services Program (ADSSP) in 1991. Congress transferred the administration of the program to AoA in 1998, in an effort to ensure coordination with other programs for older Americans. To date, the ADSSP has proven successful in targeting service and system development to traditionally underserved populations, including ethnic minorities, low-income, and rural families coping with Alzheimer’s disease.

The disparate nature of both funding streams and eligibility requirements for respite programs may result in long waiting lists or complex bureaucratic mazes of application processes and/or eligibility requirements which are difficult for families to navigate. Even if families have sufficient resources available to pay for respite, they often encounter difficulties finding sufficient providers able to deliver respite in a manner most appropriate to their needs and situation.

The Lifespan Respite Care Act defines *lifespan respite care* as “a coordinated system of accessible, community-based respite care services for family caregivers of children or adults with special needs.” Such systems bring together Federal, state and local resources and funding streams to help support, expand and streamline the delivery of planned and emergency respite services while also providing for the recruitment and training of respite workers and caregiver training and empowerment.

**Status of Lifespan Respite Programs in the States**

The Lifespan Respite approach, as defined above, has been in existence for several years and is operational in varying degrees in numerous states. Each program is unique and reflective of the diverse needs of the state’s population of respite consumers (caregivers) and care recipients. Despite the varied approaches to designing and administering Lifespan Respite programs in the states, the unifying characteristic of each is a coordinated approach to ensuring respite services are available to all who need it.

Many Lifespan Respite programs in existence today have created community-based networks of local partnerships designed to ensure capacity of available respite programs. These partnerships often include family caregivers, providers, state and federally funded programs, area agencies on aging, non-profit organizations, health services, local businesses and faith-based organizations. Services provided by Lifespan Respite programs include awareness building, partnership development, volunteer and paid respite staff recruitment, training, gap identification, and resource development.

In states where Lifespan Respite activities are under way, there exists a great deal of diversity with respect to program structure and operation. Several states have implemented Lifespan Respite Programs through state legislation while others have relied on the
commitments and activities of a dedicated group of volunteers to implement a program without authorizing legislation. Still other states have programs that function on a much smaller scale, acting as a single point of entry for respite services, or offering vouchers for respite services or training staff and volunteers.  

*The Lifespan Respite Care Act – Overview*

The Lifespan Respite Care Act is intended to accomplish several objectives. First, because respite is often in short supply or inaccessible to people of all ages and disabilities, the Lifespan Respite Care Act seeks to expand and enhance respite services in the states. Second, multiple respite programs funded by many different sources often exist in the states. The Lifespan Respite Care Act is designed to improve coordination and dissemination of service delivery between the various programs available. Third, because multiple respite programs exist and service gaps are created due to specific eligibility criteria of many respite programs, they may be difficult for consumers to identify and access. The Lifespan Respite Care Act seeks to improve access to programs by streamlining the means by which consumers access programs and by filling gaps in service where necessary. Finally, by expanding and enhancing respite services, and improving coordination and access, the Lifespan Respite Act is designed to improve the overall quality of the respite services currently available.

Rather than supplant, replace, or duplicate Federal, state, local and private respite care development and funding activities, the Lifespan Respite Care Act is intended to facilitate coordination between programs, reduce duplication of effort, and assist in the development of respite care infrastructure at the state and local level. The Lifespan Respite Care Act is intended to improve the delivery and quality of respite services available to families across age and disability spectrums by establishing coordinated lifespan respite systems.

Applicants to this Program Announcement are encouraged to read the text of the Lifespan Respite Care Act of 2006 in its entirety, including the committee report which accompanies the legislation. Full text of the legislation may be found at: http://thomas.loc.gov/cgi-bin/cpquery/T?&report=hr716&dbname=109&.

**Funding Opportunity Description**

The goal of this program announcement is to implement the requirements of the Lifespan Respite Care Act of 2006. To that end, AoA is looking to fund projects that propose to serve all eligible respite recipients, including family members, foster parents, or other adults providing unpaid care to adults needing care to meet basic daily needs or prevent injury and to children who require care beyond that required to meet their basic needs and to those who might not otherwise have access to other types of respite care services.

AoA understands that the current status of Lifespan Respite Program development may vary from state to state. AoA also recognizes that not all states will start from the same place in designing their programs. Therefore, proposals will be evaluated based on the

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5 For more information on the status of Lifespan Respite Programs in the states, visit the ARCH National Respite Network’s web site at: http://chttop.org/ARCH.html

6 Applications submitted under this Announcement should fully address each of the elements described below and those found in Section IV 2 c. (Project Narrative) found on Pages 17-21 of this Announcement.
extent of the progress a state expects to make under the grant in developing Lifespan Respite Programs and not on the current status of such efforts in the states. States that already have systems that include major elements of a Lifespan Respite Care Program will be successful in their applications for funding under this announcement only to the extent that further progress can be demonstrated (e.g., by adding additional functions, expanding target group coverage, etc.). Successful applicants will propose a project that fully implements all required services specified by the Lifespan Respite Care Act, on a statewide basis while ensuring the following:

Proposed programs must demonstrate thorough understanding of the population to be served. Knowledge of the family caregiver population for whom lifespan respite program services are to be provided, or for whom respite care workers and volunteers will be recruited and trained, is an essential requirement of any successful application under this Announcement. To that end, the application narrative must fully describe the needs of the caregiver population and the current respite infrastructure in the state. The proposed intervention must fully describe how respite information dissemination and coordination, respite care services and worker and volunteer recruitment and training will be carried out. The plan for administering, collaborating, and coordinating respite care activities in the state with other related services or programs must also be described. Applicants should refer to Section IV, 2.c (Pages 17-21) of this Announcement for a full description of legislatively mandated application narrative requirements.

Proposed programs must coordinate with, and on behalf of, existing respite programs and infrastructures. The Lifespan Respite Care Act is designed to facilitate coordination between respite programs in the state and reduce or eliminate duplication of effort and to assist in the development of statewide respite care infrastructure. Grantees under this Program Announcement are required to coordinate with existing public or private respite care programs already in existence when implementing State or local respite programs. Applicants should describe their approach for working with public and private non-profit State respite coalitions or respite organizations to implement a lifespan respite program.

Proposed programs must help families navigate the respite care system and gain access to those programs most appropriate for their needs. Once operational, Lifespan Respite Programs should assist families by first identifying current respite funding streams in the State and assisting families in determining for which existing program they are eligible. Families who do not qualify for any existing respite programs or services may have those services paid for by the Lifespan Respite Care Program. Applicants under this announcement should clearly describe their approach for coordinating and improving access to existing respite programs and services and filling gaps where necessary.

Proposed programs must serve all family members, regardless of age or disability. When preparing applications for submission, states are reminded that the Lifespan Respite Care Act is intended to improve the delivery and quality of respite services available in a state or locality to families across the age and disability spectrum by establishing coordinated lifespan respite systems. All family members, regardless of the age, disability of chronic condition of their loved ones, should be able to access a Lifespan Respite Program to obtain information on how and where to find respite services and providers from among those currently existing. Applicants under this Program Announcement are
required to describe their plan for serving all age groups and disability categories, without preference for a select demographic group or disability population.

**Proposed programs must demonstrate stakeholder collaboration and full implementation.** Successful applications will demonstrate the broadest possible collaboration with relevant respite stakeholders from across the age and disability spectrum. Further, applicants must propose a program that immediately addresses the respite needs of all ages and special needs categories. **No phase-in or preferences for age groups or disability categories will be permitted.** Each application submitted under this Announcement must include a description of the eligible State agency’s:

- Ability to work with other State and community-based agencies;
- Understanding of respite care, and family caregiver issues across all age groups, disabilities, and chronic conditions; and
- Capacity to ensure meaningful involvement of family members, family caregivers, and care recipients.

Additionally, a memorandum of agreement regarding the joint responsibility for the eligible State agency’s lifespan respite program between the eligible State agency and a public or private nonprofit **statewide** respite coalition or organization must be in place at the time of application. **A copy of such memorandum must be included as part of the Application package.**

**Required Activities and Use of Funds**

Lifespan Respite programs developed or enhanced under this Announcement must meet the unique needs of the states in which they operate and employ a coordinated approach for ensuring statewide availability of respite services. Application narratives under this Announcement should clearly and completely describe the eligible State agency’s plan for implementing the required services and any optional services listed below. Within that framework, each applicant under this Announcement must fully describe how their program will, at a minimum:

- Expand and enhance respite care services to family members;
- Improve the statewide dissemination and coordination of respite care; and
- Provide, supplement, or improve access and quality of respite care services to family caregivers, thereby reducing family caregiver strain.

Each eligible State agency awarded a grant under this Announcement shall use all or part of the funds awarded for the following **required** services:

- Development and enhancement of lifespan respite care at the State and local levels;
- The provision of respite care services for family caregivers caring for children or adults;
- Training and recruiting of respite care workers and volunteers;
- The provision of information to caregivers about available respite and support services; and
- Assistance to caregivers in gaining access to such services.

Additionally, funds available under this Announcement may be used to develop a range of
optional services, including:

- Training programs for family caregivers to assist family caregivers in making informed decisions about respite care services;
- Other services essential to the provision of respite care as may be specified by AoA; or
- Training and education for new caregivers.

Grants and Subcontracts

Each eligible State agency awarded a grant under this Announcement may carry out the required and optional activities described above directly or by grant to, or contract with, public or private entities. Due to the nature of this program, the State Project Director must have an active role in the implementation and management of this project. Applicants who propose conduit or pass-through funding for another agency to lead the project will not be considered for funding.

Applicants under this funding announcement should clearly describe, if necessary, their processes for subcontracting specific activities under this Program Announcement. Additionally, applicants should clearly describe the role of the project director along with the stakeholder group that will guide the design and implementation of the Lifespan Respite Program in the state.

Stakeholder Involvement and Partnerships

Eligible State agencies awarded a grant under this Announcement must carry out the activities of their programs in partnership with all relevant stakeholders at the state and local levels. Potential stakeholders include (a) entities of state and local government that administer and deliver human services programs designed to meet the respite care needs of family caregivers; and (b) state and local chapters of organizations and entities representing individuals with special needs from across the disease and disability spectrum and for whom respite is an essential component of their ongoing support in a community setting.

Collaboration and partnerships among relevant stakeholders are critical elements to the success of development, administration and operation of Lifespan Respite Care programs. It is anticipated that such partnerships will be particularly important to grantees carrying out activities under this funding announcement. Therefore, applications should clearly demonstrate the involvement of key state- and local-level organizations and stakeholders from across the age and disability spectrum as full partners in the design, implementation, and evaluation of the Lifespan Respite Program. For example, such a group might include but is not limited to:

- State government agencies providing human services programs, of which respite may (or may not) be a component service;
- Providers of respite care serving the full range of population groups with varying, disabilities and service needs and for whom respite is an essential component of remaining in the community; and
- Non-profit organizations that function at the state and local levels to enhance
services and education to persons with respite care needs, their families, and caregivers to enhance and promote the coordination of a more comprehensive and appropriate service delivery between the social service network and the state service system.

**Products**

Grantees under this funding announcement will be doing much to advance Lifespan Respite Care Programs at the state and local level. As such, grantees’ experiences during the lifespan of the project will be looked at with interest by other states seeking guidance and direction as they embark on the development of similar programs into the foreseeable future. To more easily facilitate replication of programs and approaches by other states and to eliminate the need to “reinvent the wheel,” grantees under this funding announcement will be asked to submit to AoA key products that can serve as resource guides for future Lifespan Respite Care program development, enhancement, and expansion.

Grantees will be encouraged to develop for dissemination products such as: (1) a “how-to” manual that will readily allow others to implement a Lifespan Respite Care program within their own state or community; (2) materials (i.e., training tools, surveys, brochures, etc) that can be easily reproduced by others implementing such programs at the state or community level; and (3) a cost assessment methodology that will enable an estimation of the cost of program start-up and operation and the costs of serving clients as the program matures. Copies of all final products should be submitted to AoA at the conclusion of the specified grant period.

**Information Sharing**

As a new program, this funding opportunity presents a unique opportunity for grantees to learn from one another and to share their experiences in program implementation with the broader human services community. To facilitate information sharing on a range of program development issues and to provide regular opportunities for peer-to-peer exchange of information and ideas, the AoA Project Officer and grantee Project Directors will meet, at a minimum, every other month by phone. During the bi-monthly phone meetings, the grantee Project Directors and the AoA Project Officer will review project developments and accomplishments as well as discuss future endeavors and goals. These meetings will also be an opportunity to provide guidance and technical assistance regarding program development and to hear from National stakeholder organizations about those issues of importance to Lifespan Respite Care Programs nationwide.

**Collaboration with Technical Assistance Efforts**

The Lifespan Respite Care Act permits the establishment of a resource center to maintain a national database of lifespan respite care, provide training and technical assistance to State, community and non-profit respite care programs, and provide information, referral, and education programs to the public on lifespan respite care. Under a separate Funding Announcement (HHS-2009-AoA-PG-0913), AoA will be developing the resource center activities called for in the Lifespan Respite Care Act and will be working with the grantee
to support the work of the state agencies funded under this Program Announcement. Successful grantees under this Program Announcement will be expected to collaborate in technical assistance activities as they pertain to Lifespan Respite Care Program development, enhancement, and expansion.

II. AWARD INFORMATION

**Award type:** Grants to Eligible State Agencies  
**Estimated Federal Funds Available:** $2,325,000  
**Estimated Number of Awards:** Up to 10-15 Grants  
**Projected Start Date:** September 30, 2009  
**Estimated Project Length:** 36 Months

The amount of Federal funds available for this new funding opportunity is $2,325,000. The AoA plans to fund approximately 10-15 grants under this Announcement, with a federal funding level of up to $200,000 per award for a 36 month project period. Eligible state agencies funded under this announcement shall use grant funds for the purposes of planning and establishing Lifespan Respite Care systems, as outlined in the Lifespan Respite Care Act of 2006.

Because the nature and scope of the proposed projects will vary from application to application, it is anticipated that the size of each award will also vary. Funding awards will be reflective of the scope of work proposed by each applicant. Projects will be funded for a 36-month project period. AoA reserves the right to offer a funding level that differs from the requested amount.

Funding will be allocated in total at the time of the award. Grantees are required to provide at least a 25% match of total project cost. Funds made available under this Announcement shall be used to supplement and must not supplant other Federal, State, and local funds available for respite care services.

**AoA and Grantee Collaboration**

The Administration on Aging will assist each of the grantees in understanding the strategic goals and objectives, policy perspectives, and priorities of the Assistant Secretary for Aging and the Department of Health and Human Services, by sharing such information via email, conference calls, briefings, memos, and other consultations. The AoA project officer will provide technical assistance and guidance on issues related to grant management and implementation issues, including the execution of the cooperative agreement. The AoA project officer will also share information with each grantee about other federally sponsored projects and activities relevant to activities funded under this announcement.

Each grantee under this announcement, in collaboration with the AoA project officer, will develop a project work plan. Within 45 days of the award, the grantee will agree upon and adhere to a work plan that details expectations for major activities, products, and reports during the current budget period. The work plan will include a detailed timetable with tangible milestones as identified by AoA in the terms and conditions of the Notice of
Award. In addition, the work plan will contain project and activity implementation plans, including potential subgrantees/subcontractors, staff assignments, and other areas that require AoA consultation, review, and/or prior approval. Either the AoA project director or the grantee can propose a revision of the final work plan at any time.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

This is a limited grant competition. Awards will only be made to eligible state agencies to implement the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-716). Eligible state agencies are those that administer the State’s program under the Older Americans Act of 1965; or, administer the State’s program under title XIX of the Social Security Act; or, are designated by the governor of the state to administer the State’s programs under this Announcement.

In carrying out the activities under the Announcement, the eligible State agency is an aging and disability resource center/single entry point entity and works in collaboration with a public or private nonprofit statewide respite care coalition or organization to ensure full, statewide deployment of all required programs and activities of the Lifespan Respite Care Act. For the purposes of this Announcement, “aging and disability resource center” refers to an entity that provides a coordinated system for ensuring (a) comprehensive information on available public and private long-term care programs, options, and resources; (b) options counseling to assist individuals in assessing existing or anticipated long-term care needs, and developing and implementing a plan for long term care designed to meet specific needs and circumstances; and (c) consumer access to the range of publicly funded long-term care programs for which consumers may be eligible by serving as a convenient point of entry for such programs.

When awarding grants under this Announcement, priority consideration will be given to eligible State agencies showing the greatest likelihood of implementing or enhancing lifespan respite care statewide and who are building or enhancing the capacity of their long-term care systems to respond to the comprehensive needs, including respite care needs, of their residents.

2. Cost Sharing or Matching

Section 2902 of the Public Health Service Act (42 U.S.C. 201 et seq.), as amended, requires that grantees provide at least 25% match (cash or in-kind) of total costs. Waivers to these match requirements are not allowed.

The formula for calculating the required match is:

Federal Funds requested (i.e., $200,000) x Applicant Match Rate (25%) = Project Match
Federal Match Rate (i.e., 75%)

Under this Older Americans Act (OAA) program, AoA will fund no more than 75% of the project’s total cost, which means the applicant must cover at least 25% of the project’s total cost.
total cost with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project’s total cost. This “three-to-one” ratio is reflected in the formula included under Item 18 in Attachment A. You can use this formula to calculate your minimum required match. A common error applicants make is to match 25% of the Federal share, rather than 25% of the project’s total cost. Please note, applications with a match greater than the minimum required will not receive additional consideration under the review. Match is not one of the responsiveness criteria as noted in Section III, 3 Application Screening Criteria.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Responsiveness Criteria: Applications will go through an initial screening to verify the eligibility criteria outlined above in Section III(I) is satisfied and that the applicant:

- Demonstrates an ability to work with other State and community-based agencies on the enhancement and expansion of Lifespan Respite Care services;
- Demonstrates an understanding of respite care and family caregiver issues across all age groups, disabilities, and chronic conditions;
- Demonstrates the capacity to ensure meaningful involvement of family members, family caregivers, and care recipients; and
- Does not propose conduit or pass-through funding for another agency to lead the project.

Applications that do not meet the above responsiveness criteria will be administratively eliminated and will not be reviewed.

Application Screening Criteria

All applications will be screened to assure a level playing field for all applicants. Applications that fail to meet the three screening criteria described below will not be reviewed and will receive no further consideration.

In order for an application to be reviewed, it must meet the following screening requirements:


2. The Project Narrative section of the Application must be double-spaced, on 8 ½” x 11” plain white paper with 1” margins on both sides, and a font size of not less than 11.

3. The Project Narrative must not exceed 20 pages. NOTE: The Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel are not counted
as part of the Project Narrative for purposes of the 20-page limit.

4. Other

Additional Resources

The list below identifies a few, but not all, of the online resources available to assist you with application preparation, planning and program implementation:

- Full text of both the authorizing legislation and the accompanying Committee Report may be found at: http://thomas.loc.gov/cgi-bin/query/T?&report=hr716&dbname=109&
- ARCH National Respite Network http://chtop.org/ARCH.html

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application materials can be obtained from http://www.grants.gov or http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx.

Application materials are also available by writing to:

U.S. Department of Health and Human Services
Administration on Aging
Greg Link, Aging Services Program Specialist
Center for Wellness and Community Based Services
Washington, D.C. 20201

Or by calling: 202-357-3545
Or e-mailing: greg.link@aoa.hhs.gov

Please note AoA is requiring applications for this announcement to be submitted electronically through www.grants.gov. The Grants.gov registration process can take several days. If your organization is not currently registered with www.grants.gov, please begin this process immediately. For assistance with www.grants.gov, please contact them at support@grants.gov or 1-800-518-4726 between 7 a.m. and 9 p.m. Eastern Time. At www.grants.gov, you will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website.

Applications submitted via www.grants.gov:

- You may access the electronic application for this program on www.Grants.gov. You must search the downloadable application page by the Funding Opportunity Number (HHS-2009-AoA-LR-0916) or CFDA number (93.072).
At the www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. AoA strongly recommends that you do not wait until the application due date to begin the application process through www.grants.gov because of the time delay.

All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and register in the Central Contractor Registry (CCR). You should allow a minimum of **five days** to complete the CCR registration.

You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.

Prior to application submission, Microsoft Vista and Office 2007 users should review the Grants.gov compatibility information and submission instructions provided at www.grants.gov (click on “Vista and Microsoft Office 2007 Compatibility Information”).

Your application must comply with any page limitation requirements described in this Program Announcement.

After you electronically submit your application, you will receive an automatic acknowledgement from www.grants.gov that contains a Grants.gov tracking number. The Administration on Aging will retrieve your application form from Grants.gov.

After the Administration on Aging retrieves your application form from Grants.gov, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by Grants.gov.

Each year organizations registered to apply for Federal grants through www.grants.gov will need to renew their registration with the Central Contractor Registry (CCR). You can register with the CCR online and it will take about 30 minutes (http://www.ccr.gov).

2. **Content and Form of Application Submission**

   **a. Letter of Intent**

   Applicants are requested, but not required, to submit a letter of intent to apply for this funding opportunity to assist AoA in planning for the application independent review process. The deadline for submission of the letter of intent is **June 16, 2009**. Letters of intent should be sent to:

   U.S. Department of Health and Human Services  
   Administration on Aging  
   Greg Link, Aging Services Program Specialist  
   Center for Program Operations  
   Email: greg.link@aoa.hhs.gov  
   Fax: 202-357-3558

   **b. DUNS Number**
The Office of Management and Budget requires applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003. It is entered on the SF 424. It is a unique, nine-digit identification number, which provides unique identifiers of single business entities. The DUNS number is free and easy to obtain.

Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link: https://www.whitehouse.gov/omb/grants/duns_num_guide.pdf.

c. Project Narrative

The Project Narrative must be double-spaced, on 8 ½” x 11” paper with 1” margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. AoA will not accept applications with a Project Narrative that exceeds 20 pages. The Project Work Plan, Letters of Commitment, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections noted below are included in the limit.

The components counted as part of the 20 page limit include:

- Summary/Abstract
- Problem Statement
- Goals and Objectives
- Proposed Intervention
- Special Target Populations and Organizations
- Project Management
- Outcomes
- Evaluation
- Product Dissemination
- Organizational Capability

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether or not your project meets the minimum requirements for grants under the Lifespan Respite Care Act Program. The Project Narrative should provide a clear and concise description of your project. AoA recommends that your project narrative include the following components:

**Summary/Abstract.** This section should include a brief - no more than 265 words maximum - description of the proposed project, including: the goal, the list of objectives and the products to be developed. Detailed instructions for completing the summary/abstract are included in Attachment E of this document.

**Problem Statement.** This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed
intervention is designed to address, including how the project will potentially affect the target populations (including specific subgroups within those populations), and possibly the health care and social services systems (e.g., the use of health care and/or nursing home services.) For purposes of this Program Announcement, applicants are required to include the following descriptive information as it pertains to the caregiving needs and current respite care infrastructure in their state:

- The population of family caregivers in the state;
- The extent and nature of the respite care needs of that population;
- Existing respite care services for that population, including numbers of family caregivers being served and the extent of unmet needs;
- Existing methods or systems to coordinate respite care information and services to the population at the State and local level and the extent of unmet need in this area;
- A description of respite care services available to family caregivers in the eligible State agency’s State or locality, including unmet needs and how the eligible State agency’s plan for use of funds will improve the coordination and distribution of respite care services for family caregivers of children and adults with special needs; and
- The criteria used to identify family caregivers eligible for respite care services;

**Goals and Objectives.** This section should consist of a description of the project’s goal(s) and major objectives. Unless the project involves multiple, complex interventions, we recommend you have only one overall goal.

**Proposed Intervention.** This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in the “Problem Statement”. You should also describe the rationale for using the particular intervention, including factors such as: “lessons learned” for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the “right conditions” for the intervention (e.g., existing social, economic or political factors that you’ll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of the strategic partnerships you plan to involve in implementing the intervention, including other organizations, funding sources, and/or consumer groups.

In addition, applicants must describe the following:

- How respite care information dissemination and coordination, respite care services, respite care worker and volunteer recruitment and training programs, or training programs for family caregivers that assist them in making informed decisions about respite care services will be provided using funds provided under this Announcement;
- A plan for administration, collaboration, and coordination of the proposed respite care activities with other related services or programs offered by public or private, nonprofit entities, including area agencies on aging;
- How the population, including family caregivers, care recipients, and relevant public or private agencies, will participate in the planning and implementation of the proposed respite care activities;
• How the proposed respite care activities will make use, to the maximum extent feasible, of other Federal, State, and local funds, programs, contributions, other forms of reimbursements, personnel, and facilities;
• A description of how the quality and safety of any respite care services provided will be monitored, including methods to ensure that respite care workers and volunteers are appropriately screened and possess the necessary skills to care for the needs of the care recipient in the absence of the family caregiver;

Special Target Populations and Organizations. This section should describe how the proposed intervention will target all eligible respite populations, including limited-English speaking populations. This section should also describe how you plan to involve community-based organizations in a meaningful way in the planning and implementation of the proposed project. Describe in detail the roles and makeup of the strategic State and local partnerships that will be involved in implementing the intervention program, including other agencies, organizations, funding entities, and/or citizen groups. Describe how the program will coordinate with other programs and organizations to carry out the proposed activities.

Project Management. This section should include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project’s objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project’s on-going progress (including training, evaluation, service delivery, and monitoring fidelity of the program), preparation of reports; communications with other partners and AoA. It should also describe the approach that will be used to monitor and track progress on the project’s tasks and objectives.

Outcomes. (NOTE: AoA will not fund any project that does not include measurable outcomes). This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. The outcomes should include but not be limited to outcome measures from the original research to validate the project outcomes.

A “measurable outcome” is an observable end-result that describes how a particular intervention benefits consumers. It demonstrates the functional status, mental well-being, knowledge, skill, attitude, awareness or behavior.) It can also describe a change in the degree to which consumers exercise choice over the types of services they receive, or whether they are satisfied with the way a service is delivered. Additional examples include: a change in the responsiveness or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated in the aging network; or new knowledge that can contribute to the field. A measurable outcome is not a measurable “output” or “indicator” such as the number of clients served, the number of training sessions held, or the number of service units provided.

This section should also describe how the project’s findings might benefit the field at large, (e.g., how the findings could help other organizations throughout the nation to address the same or similar problems.) You should keep the focus of this section on describing what outcome(s) will be produced by the project. You should use the
Evaluation section noted below to describe how the outcome(s) will be measured and reported.

List measurable outcomes in the attached work plan grid (Attachment D) under “Measurable Outcomes” in addition to any discussion included in the narrative along with a description of how the project might benefit the field at large.

Your application will be scored on the clarity and nature of your proposed outcomes, not on the number of outcomes cited. It is totally appropriate for a project to have only ONE outcome that it is trying to achieve through the intervention reflected in the project’s design. Please keep in mind that the outcomes you measure will serve important roles when you submit the required article(s) to research/academic journals.

**Evaluation.** This section should describe the methods, techniques, and tools that will be used to: 1) determine whether or not the proposed intervention achieved its anticipated outcome(s), 2) document the “lessons learned” – both positive and negative - from the project that will be useful to people interested in replicating the program, if it proves successful, and 3) the results expected from proposed respite care activities and the procedures to be used for evaluating those results. Results from the evaluation should be discussed in articles that are submitted to academic/research journals.

Applicants under this Announcement must establish and describe measurable performance goals for their programs, including indicators to be used to track progress on the performance goals. The measurable performance goals and indicators should be incorporated into the design of the program’s evaluation, and be used to measure the success of Lifespan Respite Care programs both for the funding period and beyond. The goals and indicators must be developed with input from the stakeholders and must include input from consumers of lifespan respite services.

Grantees should clearly state performance goals and indicators related to their Lifespan Respite Care programs. Examples of performance goals and indicators include:

1. **Expansion and enhancement of respite care services to family caregivers** – e.g., the extent to which respite care services have been made more available on a statewide basis;
2. **Improvement of the statewide dissemination and coordination of respite care** – e.g., expansion of program capacity, new respite options, and closer collaboration between respite programs;
3. **Provision, supplementation, or improvement to respite care access** – e.g., family caregivers report being able to better gain access to and understanding of the respite options available to them;
4. **Responsiveness** to the needs, preferences, unique circumstances, and feedback of individuals as it relates to the receipt of respite care services; and

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7 The Lifespan Respite Care Act requires a Government Accountability Office (GAO) report be completed no later than January 1, 2011. The Comptroller General of the United States is to conduct an evaluation and submit a report to Congress on the effectiveness of lifespan respite programs, including an analysis of cost benefits and improved efficiency in service delivery.
5. **Efficiency** and **Effectiveness** - e.g., reduction of family caregiver burden and strain, reduction in the length of time it takes to receive respite services, streamlined intake, screening, and eligibility determination processes.

**Product Dissemination.** This section should describe the method that will be used to disseminate project products in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project. Products such as a “how-to” manual that will readily allow others to implement a Lifespan Respite Care program within their own state or community; training tools, brochures and materials that can be easily reproduced by others implementing such programs at the state or community level can save time and prevent duplication of effort; and a cost assessment methodology that will enable an estimation of the cost of program start-up and operation and the costs of serving clients as the program matures are all useful and valuable tools to which others may turn when starting similar programs.

**Organizational Capability Statement.** The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. Similarly, the local entities or partners that will have a significant role(s) in implementing the program and achieving project goals should demonstrate that they have this capacity. Where appropriate, assurances must be made that the eligible state agency will have a system for maintaining the confidentiality of care recipients and family caregiver records.

Each application should include an organizational capability statement and vitae for key project personnel. Please attach short vitae for key project staff only. Neither vitae nor an organizational chart will count towards the narrative page limit. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

d. **Work Plan.**

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover all three (3) years of the project period. It should include a statement of the project’s overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the Sample Work Plan format included in Attachment D.
e. Letters of Commitment from Key Participating Organizations and Agencies.

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator.

For applications submitted electronically via Grants.gov, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may fax them to the AoA Office of Grants Management at 202-357-3466 by the application submission deadline.

f. Budget Narrative/Justification

The Budget Narrative/Justification should be provided using the format included as Attachment C of this Program Announcement. Applicants are encouraged to pay particular attention to Attachment B, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required. PLEASE NOTE THAT WHEN MORE THAN 33% OF A PROJECT’S TOTAL BUDGET IS LISTED IN THE CONTRACTUAL LINE ITEM, DETAILED BUDGET NARRATIVES/JUSTIFICATIONS MUST BE PROVIDED FOR EACH SUB-CONTRACTOR OR SUB-GRANT FOR EACH YEAR OF POTENTIAL GRANT FUNDING.

3. Submission Dates and Times

The deadline for the submission of applications under this program announcement is 11:50 PM, Eastern Time, July 29, 2009. Applications must be submitted electronically by 11:59 PM, Eastern time, July 29, 2009.

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration.

Grants.gov will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in Grants.gov. After the Administration on Aging retrieves your application form from Grants.gov, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by Grants.gov.

4. Intergovernmental Review

This funding opportunity announcement is not subject to the requirements of Executive Order 12372, “Intergovernmental Review of Federal Programs”

5. Funding Restrictions

The following activities are not fundable:
• Construction and/or major rehabilitation of buildings
• Basic research (e.g. scientific or medical experiments)
• Continuation of existing projects without expansion or new and innovative approaches

6. Other Submission Requirements

Electronic submissions must be sent to: http://www.grants.gov.

Applicants submitting their application through www.grants.gov must register in the Central Contractor Registry (CCR) database in order to be able to submit the application. One element of the CCR is the DUNS number (see section IV.2), which must be obtained separately from CCR registration. Information about CCR is available at http://www.grants.gov/CCRRegister. You must also register with a Credential Provider to receive a username and password to securely submit your grant application. Information is available at http://www.grants.gov/CredentialProvider.

Letters of intent are due June 16, 2009 and should be emailed or faxed to:

Greg Link, Aging Services Program Specialist  
Email: greg.link@aoa.hhs.gov  
Fax: 202-357-3558

V. APPLICATION REVIEW INFORMATION

1. Criteria

Applications are scored by assigning a maximum of 100 points across four criteria:

• Purpose and Need for Assistance - (15 points);
• Approach/Method – Workplan and Activities - (40 points);
• Outcomes/Evaluation/Dissemination - (25 points); and
• Level of Effort - (20 points).

a. Purpose and Need for Assistance  
   Weight: 15 points

i. Purpose and Need: Does the proposed project clearly and adequately respond to the priority area, as described in this Program Announcement? Does this section clearly describe the need for developing Lifespan Respite Care in the state? Does the application describe (a) the population of caregivers in the state; (b) the extent and nature of respite needs of that population; (c) existing respite care services, including numbers currently served; and (d) existing methods to coordinate respite information and services to the population? (5 points).

ii. Problem to be Addressed: Does the applicant include a description of the problems this proposal is intended to address through the proposed intervention? Does the applicant provide appropriate demographic information as it applies to the
State where the Lifespan Respite Program will be implemented? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (10 points)

b. **Approach, Work Plan and Activities**

   Weight: 40 points

   i. **Goals/Objectives:** Has the applicant stated clear and meaningful goals and objectives for the proposed program as well as problems that relate to the proposed program? Are the goals and objectives reasonable and likely to be achieved? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project’s success? Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate? (10 points)

   ii. **Work Plan:** Is the project work plan clear and comprehensive? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the work plan include specific objectives and tasks that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan, including plans for administration, collaboration and coordination of respite care activities with other related services or programs offered by public or private nonprofit entities, including AAAs and other respite care organizations? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carryout the project? (10 points)

   iii. **Methods of Addressing the Problem:** Has the applicant described a coherent approach to implementing Lifespan Respite Care program that would successfully address the problems described? Has the applicant adequately described the plan for using funds to improve coordination and distribution of respite care services for family caregivers of children and adults with special needs? Has the applicant adequately described the criteria to be used to identify family caregivers eligible for respite services? Is it likely the approach will achieve the specified goals? (10 points)

   iv. **Coordination and Linkages:** Does the application describe how state and/or local community-based organizations will be involved in a meaningful way in the planning and implementation of the Lifespan Respite Program? Does the applicant demonstrate inclusion of the full range of age and disability populations in the planning and implementation of the Lifespan Respite Program? Does the proposed project include all eligible population groups, including disadvantaged and limited-English speaking populations in its targeting? (10 points)

c. **Project Outcomes, Evaluation and Dissemination**

   Weight: 25 points

   i. **Project Outcomes:** Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated
outcomes of the proposed project likely to be achieved and will they significantly benefit the populations affected by the intervention, and the field as a whole? (5 points)

ii. Project Evaluation: Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture “lessons learned” from the overall effort that might be of use to others in the field, especially those who might be interested in replicating the project? Will the evaluation permit a determination of whether objectives have been achieved? Does the applicant describe how the quality and safety of respite care services will be monitored, including methods to ensure appropriate screening of workers? (10 points)

iii. Sustainability: Is there a realistic plan to try to secure resources to continue some or all project activities after Federal financial assistance has ended? (5 points)

iv. Dissemination: Will the dissemination plan get relevant and easy to use information about respite care services, worker recruitment and training, and programs for family caregivers, including training, in a timely manner to parties that might be interested in making use of its findings, particularly to those who might want to replicate the project? (5 points)

d. Level of Effort: Weight: 20 points

i. Organization and Management: Does the application adequately describe the agency’s ability to work with other state and community based agencies? Does the applicant demonstrate an understanding of respite care and family caregiver issues across all age groups, disabilities, and chronic conditions? Does the applicant demonstrate capacity and commitment to ensuring meaningful involvement of family members, family caregivers, and care recipients? Does the applicant demonstrate the commitment to implement the program so as to serve all age groups, disability populations, etc? Does the applicant demonstrate the commitment to lead the project? Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? Are assurances in place that the grantee will have a system for maintaining confidentiality of care recipient and family caregiver records? (10 points)

ii. Budget and Resources: Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the scope of project activities consistent with the resources requested? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? Are budget line items clearly delineated and consistent with work plan objectives? (10 points)
2. **Review and Selection Process**

An independent review panel of at least three individuals will evaluate applications that pass the screening. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies. Based on the specific programmatic considerations as outlined under section I, Funding Opportunity Description, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria identified above.

Final award decisions will be made by the Assistant Secretary for Aging (ASA). In making these decisions, the ASA will take into consideration: recommendations of the review panel; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and the likelihood that the proposed project will result in the benefits expected.

Applicants have the option of omitting from the application copies (not the original) specific salary rates or amounts for individuals specified in the application budget and Social Security Numbers. The copies may include summary salary information.

VI. **AWARD ADMINISTRATION INFORMATION**

1. **Award Notices**

Successful applicants will receive an electronic Notice of Award. The Notice of Award is the authorizing document from the U.S. Administration on Aging authorizing official, Officer of Grants Management, and the AoA Office of Budget and Finance. Unsuccessful applicants are notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail or U.S. mail.

2. **Administrative and National Policy Requirements**

The award is subject to DHHS Administrative Requirements, which can be found in 45CFR Part 74 and 92 and the Standard Terms and Conditions implemented through the HHS Grants Policy Statement, October 1, 2006 located at http://www.hhs.gov/grantsnet/adminis/gpd/index.htm.

3. **Reporting**

The SF-269 (Financial Status Report) is due annually and the AoA program progress report is due semi-annually. Final performance and SF-269 reports are due 90 days after the end of the project period.

VII. **AGENCY CONTACTS**
VIII. OTHER INFORMATION

A. Application Elements

1. SF 424 – Application for Federal Assistance.

2. SF 424A – Budget Information.

3. Separate Budget Narrative/Justification (See Attachments for Sample Format).

4. SF 424B – Assurances. Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).

5. Certification

6. Proof of non-profit status

7. Copy of the applicant's most recent indirect cost agreement, as necessary.

8. Project Narrative with Work Plan (See Attachment for Sample Work Plan Format).


10. Letters of Commitment from Key Partners.

11. “Survey on Ensuring Equal Opportunity for Applicants” (Optional non-profit applicants)


An agency may not conduct or sponsor, and a person is not required to respond to, a
collection of information unless it displays a currently valid OMB control number.
The project description and budget justification is approved under OMB control number 0985-0018 which expires on 5/31/10.
Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.
ATTACHMENTS

Attachment A:
Instructions for completing the SF 424, Budget (SF 424A), Budget Narrative/Justification and Other Required Forms

Attachment B:
Budget Narrative/Justification Format – Sample Format with Examples

Attachment C:
Budget Narrative/Justification – Sample Template

Attachment D:
Project Work Plan - Sample Template

Attachment E:
Instructions for Completing the Summary/Abstract

Attachment F:
“Survey on Ensuring Equal Opportunity for Applicants”
Instructions for completing the SF 424, Budget (SF 424A), Budget Narrative/Justification, and Other Required Forms

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. AoA does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.

a. Standard Form 424

1. **Type of Submission:** (Required): Select one type of submission in accordance with agency instructions.
   - Preapplication • Application • Changed/Corrected Application – If AoA requests, check if this submission is to change or correct a previously submitted application.

2. **Type of Application:** (Required) Select one type of application in accordance with agency instructions.
   - New • Continuation • Revision

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank

5a **Federal Entity Identifier:** Leave this field blank

5b. **Federal Award Identifier:** For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information:** Enter the following in accordance with agency instructions:

   a. **Legal Name:** (Required): Enter the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.

   b. **Employer/Taxpayer Number (EIN/TIN):** (Required): Enter the Employer or
Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service.

c. Organizational DUNS: (Required) Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.

d. Address: (Required) Enter the complete address including the county.

e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

9. Type of Applicant: (Required) Select the applicant organization “type” from the following drop down list.

10. Name Of Federal Agency: (Required) Enter U.S. Administration on Aging

11. Catalog Of Federal Domestic Assistance Number/Title: The CFDA number can be found on page one of the Program Announcement.

12. Funding Opportunity Number/Title: (Required) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.

13. Competition Identification Number/Title: Leave this field blank.

14. Areas Affected By Project: List the largest political entity affected (cities, counties, state etc).

15. Descriptive Title of Applicant’s Project: (Required) Enter a brief descriptive title of the project.
16. Congressional Districts Of: (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd district. • If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all.

17. Proposed Project Start and End Dates: (Required) Enter the proposed start date and final end date of the project. Therefore, if you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.

18. Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

NOTE: Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the upcoming budget period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd of the amount of Federal funds being requested (the amount in 18a). For a full explanation of AoA’s match requirements, see the information in the box below. For sub-item 18f, enter only the amount, if any, that is going to be used as part of the required match.

There are two types of match: 1) non-Federal cash and 2) non-Federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered matching funds. Generally, most contributions from sub-contractors or sub-grantees (third parties) will be non-Federal in-kind matching funds. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations. Examples of non-Federal cash match includes budgetary funds provided from the applicant agency’s budget for costs associated with the project.

NOTE: Indirect charges may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements. If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-grantees are
requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

<table>
<thead>
<tr>
<th>AOA’s Match Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under this and other OAA programs, AoA will fund no more than 75% of the <strong>project’s total cost</strong>, which means the applicant must cover at least 25% of the <strong>project’s total cost</strong> with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project’s total cost (i.e., the amount on line 18g.). This “three-to-one” ratio is reflected in the following formula which you can use to calculate your minimum required match:</td>
</tr>
<tr>
<td><strong>Federal Funds Requested (i.e., amount on line 15a)</strong> = Minimum Match Requirement</td>
</tr>
<tr>
<td>For example, if you request $100,000 in Federal funds, then your minimum match requirement is $100,000/3 or $33,333. In this example the <strong>project’s total cost</strong> would be $133,333.</td>
</tr>
<tr>
<td>A <strong>common error</strong> applicants make is to match 25% of the Federal share, rather than 25% of the project’s total cost, so be sure to use one of the formulas above to calculate your match requirement.</td>
</tr>
<tr>
<td><strong>If the required non-Federal share is not met by a funded project, AoA will disallow any unmatched Federal dollars.</strong></td>
</tr>
</tbody>
</table>

19. **Is Application Subject to Review by State Under Executive Order 12372 Process?**  
Check c. Program is not covered by E.O. 12372

20. **Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

21. **Authorized Representative:** (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required), title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official representative must be on file in the applicant’s office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
b. Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this AoA program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a one year budget.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total non-Federal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

Column 3: Enter the breakdown of how you plan to use the Federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the breakdown of how you plan to use the non-Federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 3 and 4) by object class category.
Separate Budget Narrative/Justification Requirement

You must submit a separate Budget Narrative/Justification as part of your application. When more than 33% of a project’s total budget falls under contractual, detailed Budget Narratives/Justifications must be provided for each sub-contractor or sub-grantee. Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: Federal; non-Federal cash; and non-Federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or more. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-Federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

**Line 6a: Personnel:** Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants; consultant costs should be included under 6h - Other. In the Budget Narrative/Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the Budget Narrative/Justification.

**Line 6b: Fringe Benefits:** Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate. In the Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

**Line 6c: Travel:** Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel - this should be included in line 6h. In the Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates).

**Line 6d: Equipment:** Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget.
under Supplies, line 6e. **In the Justification:** Equipment to be purchased with Federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

**Line 6e: Supplies:** Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d. **In the Justification:** Provide general description of types of items included.

**Line 6f: Contractual:** Enter the total costs of all contracts, including (1) procurement contracts (except those, which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals or consultants on this line. **In the Budget Narrative/Justification:** Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate more than 33% of a project’s total budget to the contractual line item, the applicant/grantee must provide a completed copy of Section B of the SF 424A Budget Categories for each sub-contractor or sub-grantee, and separate Budget Narrative/Justification for each sub-contractor or sub-grantee for each year of potential grant funding.**

**Line 6g: Construction:** Leave blank since construction is not an allowable cost under this AoA program.

**Line 6h: Other:** Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to *individual* consultants; **local** transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs. **In the Justification:** Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the work plan. Describe the types of activities for staff development costs.

**Line 6i: Total Direct Charges:** Show the totals of Lines 6a through 6h.

**Line 6j: Indirect Charges:** Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency; or (2) the
applicant is a state or local government agency.

Budget Narrative/Justification: **State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.** An applicant that will charge indirect costs to the grant **must enclose a copy of the current indirect cost rate agreement.** If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

**Line 6k: Total**: Enter the total amounts of Lines 6i and 6j.

**Line 7: Program Income**: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project. Program Income must be used as additional program costs and can not be used as match (non-Federal resource).

**Section C - Non-Federal Resources**

**Line 12**: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Keep in mind that if the match requirement is not met, Federal dollars may be reduced.

**Section D - Forecasted Cash Needs** - Not applicable.

**Section E - Budget Estimate of Federal Funds Needed for Balance of the Project**

**Line 20**: Section E is relevant for multi-year grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

**Section F - Other Budget Information**

**Line 22: Indirect Charges**: Enter the type of indirect rate (provisional,
predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs. Include a copy of your current Indirect Cost Rate Agreement.

**Line 23: Remarks:** Provide any other comments deemed necessary.

c. **Standard Form 424B - Assurances**

This form contains assurances required of applicants under the discretionary funds programs administered by the Administration on Aging. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

d. **Certification Regarding Lobbying**

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant’s compliance with these certifications.

e. **Other Application Components**

**Survey on Ensuring Equal Opportunity for Applicants**

The Office of Management and Budget (OMB) has approved an HHS form to collect information on the number of faith-based groups applying for a HHS grant. Non-profit organizations, excluding private universities, are asked to include a completed survey with their grant application packet. Attached you will find the OMB approved HHS “Survey on Ensuring Equal Opportunity for Applicants” form (Attachment F). Your help in this data collection process is greatly appreciated.

**Proof of Non-Profit Status**

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- A copy of a currently valid IRS tax exemption certificate.

- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.

- A certified copy of the organization’s certificate of incorporation or similar document that clearly establishes non-profit status.

**Indirect Cost Agreement**

Applicants that have included indirect costs in their budgets must include a copy of
the current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency. This is optional for applicants that have not included indirect costs in their budgets.
<table>
<thead>
<tr>
<th>Object Class Category</th>
<th>Federal Funds</th>
<th>Non-Federal Cash</th>
<th>Non-Federal In-Kind</th>
<th>TOTAL</th>
<th>Justification</th>
</tr>
</thead>
</table>
| **Personnel**         | $40,000       | $5,000           | 0                  | $45,000 | Project Supervisor (name) = .3FTE @ $50,000/yr = $15,000  
($10,000 = Federal; $5,000 = Non-Federal cash)  
Project Director (name) = 1FTE @ $30,000 = $30,000  
(Federal)  
TOTAL: = $45,000 |
| **Fringe Benefits**   | $12,600       | 0                | 0                  | $12,600 | Fringes on Supervisor and Director @ 28% of salary. (Federal)  
FICA (7.65%) = $ 3,442  
Health (12%) = $ 5,400  
Dental (5%) = $ 2,250  
Life (2%) = $ 900  
Workers Comp Insurance (.75%) = $ 338  
Unemployment Insurance (.6%) = $ .270  
TOTAL: = $12,600 |
| **Travel**            | $2,450        | $1,547           | 0                  | $3,997 | Travel to Annual Grantee Meeting: (Federal)  
Airfare: 1 RT x 2 people x $750/RT = $1,500  
Lodging: 3 nights x 2 people x $100/night = $ 600  
Per Diem: 4 days x 2 people x $40/day = $ 320  
TOTAL: = $2,420  
Out-of-Town Project Site Visits (Non-Federal cash)  
Car mileage: 3 trips x 2 people x 350 miles/trip x $.365/mile = $ 767  
Lodging: 3 trips x 2 people x 1 night/ trip x $50/night = $ 300  
Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $ 480  
TOTAL: = $1,547 |

NOTE: Applicants requesting funding for multi-year grant programs MUST provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required.
<table>
<thead>
<tr>
<th>Object Class Category</th>
<th>Federal Funds</th>
<th>Non-Federal Cash</th>
<th>Non-Federal In-Kind</th>
<th>TOTAL</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>No equipment requested</td>
</tr>
<tr>
<td>Supplies</td>
<td>$1,340</td>
<td>$2,160</td>
<td></td>
<td>$3,500</td>
<td>Laptop computer for use in client intakes (Non-Federal cash) Copying $80/mo x 12 months = $960</td>
</tr>
</tbody>
</table>

**Justification:**

- **Equipment**
  - Equipment is non-expendable, tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. If the individual item does not cost more than $5,000, include it in your budget under Supplies.

- **Supplies**
  - Laptop computer for use in client intakes = $1,340 (Federal)
  - Consumable supplies (paper, pens, etc.) $100/mo x 12 months = $1,200
  - Copying $80/mo x 12 months = $960
  - TOTAL: = $3,500
### Object Class Category

<table>
<thead>
<tr>
<th>Federal Funds</th>
<th>Non-Federal Cash</th>
<th>Non-Federal In-Kind</th>
<th>TOTAL</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other</strong></td>
<td>$10,000</td>
<td>$8,000</td>
<td>$19,800</td>
<td>$37,800</td>
</tr>
<tr>
<td>Note: Items such as Video Production shown in this example, which are priced at a set fee, still require a cost breakdown.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td>$16,707*</td>
<td>$72,300*</td>
<td>$355,397</td>
<td></td>
</tr>
</tbody>
</table>

*Be sure Non-Federal Cash and Non-Federal In-Kind match equals the total program specific match requirements; 25% required match used for example purposes only*
## Attachment C: Budget Narrative/Justification — Sample Template

<table>
<thead>
<tr>
<th>Object Class Category</th>
<th>Federal Funds</th>
<th>Non-Federal Cash</th>
<th>Non-Federal In-Kind</th>
<th>TOTAL</th>
<th>Justification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supplies</td>
<td></td>
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<tr>
<td>Contractual</td>
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<tr>
<td>Other</td>
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</tr>
<tr>
<td>Indirect Charges</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Major Objectives</td>
<td>Key Tasks</td>
<td>Lead Person</td>
<td>TimeFrame</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------</td>
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<td></td>
<td></td>
<td>1 2 3 4 5 6 7 8 9 10 11 12</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.</td>
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<tr>
<td>2.</td>
<td></td>
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</tr>
</tbody>
</table>
### Goal:

### Measureable Outcome(s):

<table>
<thead>
<tr>
<th>Major Objectives</th>
<th>Key Tasks</th>
<th>Lead Person</th>
<th>TimeFrame</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>1</td>
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<tr>
<td>3.</td>
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<td>4.</td>
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</tbody>
</table>

45
Attachment D: Project Work Plan, Page 3 – Sample Format

Goal:
Measureable Outcome(s):

<table>
<thead>
<tr>
<th>Major Objectives</th>
<th>Key Tasks</th>
<th>Lead Person</th>
<th>TimeFrame (Start/End Dates by Month in Project Cycle)</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>

NOTE: Please do not infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.
Attachment E

Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, please limit the length to no more than 265 words on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project’s goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

**Goal(s)** – broad, overall purpose, usually in a mission statement, i.e. what you want to do, where you want to be

**Objective(s)** – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the “how”). Specific performances which will result in the attainment of a goal.

**Outcomes** - measurable results of a project. Positive benefits or negative changes, or measurable characteristics that occur as a result of an organization’s or program’s activities. (outcomes are the end-point)

**Products** – materials, deliverables.

- A model abstract/summary is provided below:

The grantee, Okoboji University, supports this three year Dementia Disease demonstration (DD) project in collaboration with the local Alzheimer’s Association and related Dementias groups. The goal of the project is to provide comprehensive, coordinated care to individuals with memory concerns and to their caregivers. The approach is to expand the services and to integrate the bio-psycho-social aspects of care. The objectives are: 1) to provide dementia specific care, i.e., care management fully integrated into the services provided; 2) to train staff, students and volunteers; 3) to establish a system infrastructure to support services to individuals with early stage dementia and to their caregivers; 4) to develop linkages with community agencies; 5) to expand the assessment and intervention services; 6) to evaluate the impact of the added services; 7) to disseminate project information. The expected outcomes of this DD project are: patients will maintain as high a level of mental function and physical functions (thru Yoga) as possible; caregivers will increase ability to cope with changes; and pre and post – project patient evaluation will reflect positive results from expanded and integrated services. The products from this project are: a final report, including evaluation results; a website; articles for publication; data on driver assessment and in-home cognitive retraining; abstracts for national conferences.
Survey Instructions on Ensuring Equal Opportunity for Applicants

<table>
<thead>
<tr>
<th>Applicant Organization’s Name: ________________________________</th>
<th>Grant Name: __________________________</th>
<th>CFDA Number: _____________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant’s DUNS Number: ____________________</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Does the applicant have 501(c)(3) status?
   - [ ] Yes
   - [ ] No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*
   - [ ] 3 or Fewer
   - [ ] 4-5
   - [ ] 6-14
   - [ ] 15-50
   - [ ] 51-100
   - [ ] over 100

3. What is the size of the applicant’s annual budget? *(Check only one box.)*
   - [ ] Less Than $150,000
   - [ ] $150,000 - $299,999
   - [ ] $300,000 - $499,999
   - [ ] $500,000 - $999,999
   - [ ] $1,000,000 - $4,999,999
   - [ ] $5,000,000 or more

4. Is the applicant a faith-based/religious organization?
   - [ ] Yes
   - [ ] No

5. Is the applicant a non-religious community-based organization?
   - [ ] Yes
   - [ ] No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?
   - [ ] Yes
   - [ ] No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?
   - [ ] Yes
   - [ ] No

8. Is the applicant a local affiliate of a national organization?
   - [ ] Yes
   - [ ] No

Provide the applicant’s (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal
Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

3. Annual budget means the amount of money your organization spends each year on all of its activities.


5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.

6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory.

**Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 2202-4651.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725

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