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Expiration 08/31/2013

SMP

Senior Medicare Patrol Projects

"Empowering Seniors
To Prevent Health Care Fraud"

Program Announcement and Grant Application Instructions

U.S. Administration on Aging
FY 2012

Table of Contents

I. FUNDING OPPORTUNITY DESCRIPTION 4
II. AWARD INFORMATION 10
III. ELIGIBILITY INFORMATION 14
1. Eligible Applicants 14
2. Cost Sharing or Matching 14
3. Responsiveness and Screening Criteria 15
IV. APPLICATION AND SUBMISSION INFORMATION 16
1. Address to Request Application Package 16
2. Content and Form of Application Submission 18
3. Submission Dates and Times 21
4. Intergovernmental Review 22
5. Funding Restrictions 22
6. Other Submissions Requirements 22
V. APPLICATION REVIEW INFORMATION 23
1. Criteria 23
2. Review and Selection Process 25
VI. AWARD ADMINISTRATION INFORMATION 25
1. Award Notices 25
2. Administrative and National Policy Requirements 25
3. Reporting 26
4. FFATA and FSRS Reporting 26
VII. AGENCY CONTACTS 26
VIII. OTHER INFORMATION 27
1. Application Elements 27

ATTACHMENTS 28
Attachment A: Instructions for Completing Required Forms 29
Attachment B: Standard Form 424A – Sample Format 39
Attachment C: Budget Narrative/Justification – Sample Format 41
Attachment D: Budget Narrative/Justification — Sample Template 44
Attachment E: Project Work Plan – Sample Template 45
Attachment F: Instructions for Completing the Project Summary/Abstract 48
Attachment G: The Optional Notice of Intent to Apply 49

Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center for Program Operations

Funding Opportunity Title: Senior Medicare Patrol

Announcement Type: Initial

Funding Opportunity Number: HHS-2012-AoA-MP-1202

Catalog of Federal Domestic Assistance (CFDA) Number: 93.048

Key Dates: The deadline date for submission of applications is 11:59 p.m., Eastern Time, on **March 19, 2012**.

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with http://www.grants.gov. Grants.gov can take up to 48 hours to notify you of a successful submission.

- Informational Conference Call, **February 23, 2012**, 2 - 3:30pm ET
  Dial 888-995-9728; Participant Pass code 27606*

- Submit optional Letter of Intent to apply no later than **March 1, 2012**

- Anticipated Project Start Date: **June 1, 2012**

Executive Summary:

SMP projects recruit retired professionals as volunteer resources to Medicare beneficiaries, their families, and caregivers about how to prevent, detect and report health care fraud, error and abuse in the Medicare program. Currently SMPs operate in all states, the District of Columbia, Puerto Rico, Guam and the U.S. Virgin Islands.

Based on the availability of funds, under this competition, up to twenty-eight new or competing continuation cooperative agreements will be awarded at a federal share of up to $180,000 per budget year and a project period of up to three years, in the following eligible states: Alabama, California, Connecticut, Guam, Hawaii, Illinois, Indiana, Iowa, Louisiana, Maryland, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Hampshire, New York, North Carolina, North Dakota, Pennsylvania, Rhode Island, South Carolina, South Dakota, Utah, Vermont, Virgin Islands, Wisconsin, and Wyoming.

To ensure that limited funding for this program is most effectively used to maximize national program coverage, it is necessary to limit the number of SMP grantees to one (1) per state, district or territory. By eliminating duplicative or overlapping awards to more than one organization within a state, AoA not only maximizes national program coverage, but ensures greater equity in allocation of SMP services to elders irrespective of their state of residence. States not listed above are currently served by SMP projects awarded through 2013 and are not eligible to apply.

Public and/or nonprofit agencies and organizations, including faith-based and community-based organizations, lesbian, gay, bisexual, transgender (LGBT) organizations, and Indian tribal governments (American Indian/Alaskan Native/Native American), are eligible to apply under this program announcement.

Applicants must provide a comprehensive, collaborative plan for statewide SMP program coverage which targets isolated and hard-to-reach, and other vulnerable populations within their state. No more than one project grant will be awarded for program activities within each single eligible state. Applicants who apply to operate a project in more than one State must submit a separate SF 424 for each and enter the appropriate State code for each on line 14 of the SF 424 (Attachment A)

Successful applicants must be able to conduct a three-year state-wide SMP project which empower and assist Medicare beneficiaries, their families, and caregivers to prevent, detect, and report healthcare fraud, errors, and abuse through outreach, counseling, and education.

The award is a cooperative agreement because the Administration on Aging will be substantially involved in the development and execution of the project activities.

Applicants must provide at least 25 % of the project's total cost from non-Federal resources as specified. This requirement may be waived by the Assistant Secretary for Aging, if the authorizing representative submits a written request that documents the unique circumstances where it may be warranted. See section III, item 2. Cost Sharing or match for a further discussion.

I. FUNDING OPPORTUNITY DESCRIPTION

Program History

The Department of Health and Human Services (DHHS) Office of Inspector General estimates that Medicare loses billions of dollars each year due to errors, fraud, and abuse. These losses are due, to a considerable extent, to the many ways in which the funds are disbursed as well as to the sheer magnitude of health care expenditures. Both factors increase the probability of errors while opening wider opportunities for fraud and abuse. While the vast majority of health care providers are honest, those operating unscrupulously, intent on obtaining vital health care dollars illegally, have done so based on the perception that the risks of detection have lessened over the years.

Beginning in 1997, the AoA established twelve local demonstration projects designed to recruit and train retired professionals, such as doctors, nurses, teachers, lawyers, accountants, and others to identify and report error, fraud, and abuse. Implemented through the Omnibus Consolidated Appropriation Act of 1997 (Public Law 104-208), Senate Report 104-368 noted that "senior citizens are our best front line defense against these losses, but they often don't have the information and experience needed" to recognize and accurately report cases of error, fraud, and abuse. The Report further noted that "thousands of retired accountants, health professionals, investigators, teachers, and others … with appropriate training could serve as volunteer expert resources and educators for seniors in their communities." Accordingly, these projects have worked to test different models designed to train retirees in local communities to serve as both volunteer resources and educators for other Medicare beneficiaries, and to build and strengthen community coalitions of older Americans and service providers.

SMP Program Today

In 2011, the SMP Program will include an estimated 54 project grants in all states, the District of Columbia, Puerto Rico, Guam and the U.S. Virgin Islands. SMP projects have made great progress in recruiting and training retired professionals and other senior citizens on Medicare error, fraud and abuse. These volunteers work in their communities, senior centers and elsewhere to educate Medicare beneficiaries, family members, and caregivers to actively protect themselves against fraudulent, wasteful and abusive health care practices by reviewing their Medicare benefit statements and reporting suspected errors.

SMP projects actively work to disseminate SMP fraud prevention and identification Information through the media, outreach campaigns, community events and many other means. Through these efforts, beneficiaries contact the projects with inquiries and complaints regarding Medicare, Medicaid and other health care or related consumer issues. Another key role of the SMP project is to address such inquiries and complaints, either by resolving matters directly or by referrals to appropriate entities. SMP projects refer numerous beneficiary complaints to state and national fraud control /consumer protection entities, including Medicare contractors, state Medicaid fraud control units, state attorneys general, the OIG, and the Centers for Medicare & Medicaid Services (CMS). Capturing SMP program activity data, to include tracking and reporting of beneficiary complaints, referrals, savings and other outcomes in the SMART FACTS system is also a key function of the SMP project.

The AoA also receives Health Care Fraud and Abuse Control (HCFAC) funding as authorized by the Health Insurance Portability and Accountability Act (HIPAA) of 1996. The HCFAC funds, which are received from the Medicare Trust Fund, are used to support infrastructure, technical assistance, and other SMP program support and capacity-building activities designed to enhance program effectiveness. The National Consumer Protection Technical Resource Center (the Center), an AoA grantee, provides training and technical support including mentoring of new projects, disseminating best practices and innovations, technical assistance, training and support of SMP project implementation and effective use of AoA's SMART FACTS management tracking and reporting system. In addition, HCFAC funding supports a National Hispanic SMP project focused on targeted outreach to Hispanic beneficiaries, their families and caregivers.

The Office of the Inspector General collects performance data that is submitted from the SMP projects via SMART FACTS semiannually. The most recent OIG report, dated May 6, 2011, documented the following program outputs and outcomes from January 1 through December 31, 2010:

- 4,964 active volunteers worked over 129,000 hours to educate beneficiaries about how to prevent Medicare and Medicaid fraud;
- Educated beneficiaries in 8,300 group education sessions and held 70,789 one-on-one counseling sessions;
- Conducted 6,231 community outreach education events;
- Resolved 87,951 inquiries for information or assistance from beneficiaries;
- Referred for further investigation over 922 complaints of potential fraud, error or abuse from beneficiaries involving $1.4 million in health care dollars as a result of educational efforts; and
- Documented health care cost avoidances on behalf of Medicare, Medicaid, beneficiaries or others of close to $248,000.

In addition, the OIG reports that since the program's inception 14 years ago, SMP projects have:

- Educated beneficiaries in 82,968 group education sessions and 1,112,887 one-on-one counseling sessions;
- Conducted 1,321,222 media outreach activities and 75,062 community outreach education events; and
- Documented over $105.9 million in savings, including Medicare and Medicaid funds recovered, beneficiary savings and other savings as attributable to the project as a result of beneficiary complaints.

SMP Strategic Program Objectives

The goal of SMP Projects is to empower beneficiaries/consumers to prevent health care fraud through outreach and education. Program coverage must target vulnerable, hard-to-reach population beneficiaries, their families and other consumers. The purpose of this competition is to provide the opportunity to fund one (1) SMP Project in each eligible state and jurisdiction for a project period of up to three (3) years based on the availability of federal funds.

Applicants under this announcement are required to design and implement **strategies to address each of the following SMP Strategic Program Objectives.** (Note: The specific elements required for inclusion in applicant plans are detailed in the following section, **Elements of SMP Management and Operations Plan**, pages 8-10.

Applicants will find definitions, guidance and examples of strategies and approaches, as linked to each SMP strategic objective, directly below):

1. Foster National and Statewide Program Coverage.

   Applicants must provide a comprehensive plan with appropriate strategies to achieve statewide coverage. Statewide program coverage is defined for this purpose as service to each county within the state or District of Columbia subsection. Types and levels of service shall be specified as well as strategies or approaches by which statewide coverage will be achieved and enhanced. Examples of appropriate strategies that may be used to ensure statewide program coverage include: expansion of volunteer network through formal or informal partnering; sub-granting or contracting with other area, regional or statewide organizations; use of toll-free lines; development of web sites and web-based strategies; and implementation of statewide media and outreach plans.

2. Improve beneficiary education and inquiry resolution.

   Applicants must provide a plan, with specific performance goals and measures, for increasing beneficiary education by expansion of volunteer program capacity within the state. Plans must also include specific strategies to enhance volunteer recruitment, screening, training, and management of volunteers in order to reduce risk, provide more effective service, and enhance the quality of beneficiary education.

   Projects should utilize best practice models and proven approaches for recruiting, screening, training, and managing volunteers to help ensure these individuals are provided the skills and information required to best accomplish the mission of the SMP program. Identifying and appropriately managing risks related to volunteer involvement and service delivery is an important aspect of effective volunteer program management. Proposals should provide approaches that ensure volunteers are appropriately screened to ensure ability to perform assigned duties and to identify potential conflicts of interest. Proposals should also provide approaches that ensure volunteers are trained thoroughly and provided ongoing supervision and support to ensure the safety, integrity and professionalism of the SMP workforce. Proposals shall also provide for procedures and practices to ensure that confidentiality of program information is maintained.[1]

   In every case, applicants should propose activities that will effectively employ the unique skills, varied experiences, good will, and availability of retired professionals in assisting older persons to become more educated about their health care expenditures under Medicare and Medicaid.

3. Foster national program visibility and consistency.

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1 http://www.smpresource.org/AM/Template.cfm?Section=Volunteer_Management&Template=/CM/HTMLDisplay.cfm&ContentID=3450

To enhance the consistency, professionalism and credibility of the SMP as a trusted source of health care fraud information and support, applicants are required to provide a plan for assessing the risks within their volunteer programs and for ensuring potential SMP volunteers are adequately screened.

In addition, to ensure the seamless, consistent reporting of SMP performance outcomes to the OIG semiannually, applicants must demonstrate capacity to fully implement a web-based data collection and reporting system, ensuring program activities, including simple inquiries, outreach and education, volunteer management, and complex issues are accurately recorded and tracked in a timely manner.

4. Improve the efficiency of the SMP program while increasing results for both operational and quality measures.

   AoA utilizes the SMART FACTS system to collect data, track, assess, and measure program performance. In addition, AoA will use data to assess SMP project progress in reaching SMP Strategic Program Objectives, including volunteer recruitment, training and management activities, populations served, and quality of grantee program efforts. Hence, applicant plans must reflect priorities, activities and staff/system capacity to capture project performance data.

5. Target training and education to better serve identified priority populations.

   The Older Americans Act requires that program services target vulnerable populations that are traditionally underserved due to isolation, ethnic, cultural, language barriers, socioeconomic or other factors. Applicants are required to identify specific target populations within the state, and provide a plan to reach these high priority populations through innovative and collaborative methods. Plans to reach the state's target population should reflect one or more innovative outreach strategies. (See http://www.smpresource.org for information on successful practices, and innovative strategies developed by previous grantees.) Applicants must provide plans for evaluation of the success of targeting plans in achieving program goals through analysis of program data provided through use of a web-based management, tracking and reporting system.

Elements of SMP Management and Operations Plan

The applicant must provide **a detailed plan for the management and operation of the SMP Project**. The plan should contain the following elements, as cross-referenced to the preceding SMP Program Objectives (these elements are also reflected in the Cooperative Agreement, pages 10-14). This includes:

- developing a systematic workplan for the project period;

- providing a comprehensive plan for statewide program coverage that identifies national, state-wide and community-based collaborations and innovations designed to address and reach the identified priority populations (see *SMP Objective #1*, page 7);

- developing formal partnerships, collaborations and other arrangements with local, state and federally-financed organizations within the aging, law enforcement, health care, and target population networks as needed to enhance the effectiveness and statewide reach of the SMP project (See *SMP Objectives #1 & 5*, pages 7 & 8);

- researching the demographics of the population to be served, identifying barriers to program access, and developing outreach strategies specifically designed to overcome these barriers and better serve the target population, including recruitment of volunteers with language and other skills to help reach minority communities (see *SMP Objective #5*, page 8);

- outlining a planned approach to be adopted for SMP volunteer recruitment, screening, training, and risk management that is based upon accepted professional volunteer management methods and practice (see *SMP Objectives #2 & 3*, pages 7 & 8);[2]

- developing a training plan that provides staff and volunteers the information necessary to perform the work of the SMP program (see *SMP Objective #2*, page 7), including foundation level competency in: 1) basic mission and functions of the SMP program; 2) Medicare basics; and 3) health care fraud, error and abuse. The training plan should also provide for development of effective skills in conducting educational presentations and outreach; resolution of beneficiary inquiries and complaints; and making appropriate referrals for further action. The training plan should also cite the training materials/resources to be used to achieve these objectives.

- developing proposed strategies for media activities designed to: 1) expand public awareness of health care fraud prevention methods; 2) expand program capacity through recruitment of new volunteers; and 3) to inform beneficiaries of the SMP program and how it can assist them (see *SMP Objective #1 & 2*, page 7);

- developing a statewide education and outreach plan based on assessment of trends, issues, reported scams, role of partner organizations, underserved populations and areas of the state, and beneficiary complaints reported within the statewide service area (See *SMP Objectives #1 & 5*, pages 7 & 8); and

- developing a plan to evaluate project performance (see SMP Objective #4, page 8). The plan will include methods for assessment of areas of low performance, identification of obstacles to full performance, and strategies for performance improvement for all performance measures.

Statutory Authority:

The statutory authority for grants under this program announcement is contained in Title IV and Title II, of the Older Americans Act, (42 U.S.C. 3032), as amended by the Older

[2] Ibid.

Americans Act Amendments of 2006 P.L. 109-365 (Catalog of Federal Domestic Assistance 93.048, Title IV Discretionary Projects) and the HIPAA of 1996 (P.L.104-191).

II. AWARD INFORMATION

Award Type:	Cooperative Agreement
Estimated Federal Funds Available:	$4.6 million
Individual Annual Award Ceiling:	$180,000
Individual Annual Award Floor	$75,000
Estimated Number of Awards:	up to 28
Anticipated Project Start Date:	June 1, 2012
Length of Project Period:	36-month project with three 12- month budget periods.

AWARDS UNDER THIS ANNOUNCEMENT ARE SUBJECT TO THE AVAILABILITY OF FEDERAL FUNDS

Applications are being sought for this new award.

The award is a cooperative agreement because the Administration on Aging will be substantially involved in the development and monitoring of the activities of the projects. The terms and conditions of the agreement will be included in the Notice of Award (NOA) which is subject to modification by either party as listed below.

COOPERATIVE AGREEMENT

The **Grantee** agrees to carry out the objectives and activities of the project announced as the **SMP**. The **Grantee** will develop the capacity to effectively recruit, screen, train, and manage a volunteer workforce to carry out activities that will achieve SMP program objectives. The **Grantee** will provide a work plan which includes appropriate strategies and activities to achieve the SMP Program Objectives:

- Foster National and Statewide Program Coverage.
- Improve beneficiary education and inquiry resolution.
- Foster national program visibility and consistency.
- Improve the efficiency of the SMP Program while increasing results for both operational and quality measures.
- Target training and education to better serve priority populations, as identified by the **Grantee.**

In addition to ensuring the Grantee's plan and activities address the SMP program objectives and priorities, it is further agreed that:

1. The **Grantee** will form a consortium of community-based agencies representative of the target population to assist in planning, expansion and implementing the project while working in close partnership with an interdisciplinary team of federal, state, and local resources, including representatives from the Administration on Aging (AoA), the

Office of Inspector General (OIG), the Centers for Medicare & Medicaid Services (CMS), including the CMS program integrity contractors (Program Safeguard Contractors), and law enforcement, including HEAT Task Force partners, where applicable.

2. In addition the **Grantee** must coordinate with AoA's National Consumer Protection Technical Resource Center "the Center" for assistance regarding:
   - Complex issues and referrals;
   - Sharing of successful products and practices;
   - Volunteer management and training support;
   - SMART FACTS reporting; and
   - Mentoring new SMP project directors.

3. The **Grantee** will develop the capacity to effectively recruit, screen, train, and manage a volunteer workforce to carry out activities that will achieve SMP program objectives. Volunteers will be recruited throughout the state to enable statewide program coverage. The Grantee will utilize processes, protocols, and materials for SMP volunteer recruitment, screening, training, and management that are based upon accepted professional volunteer management methods and practice.[3]

4. The **Grantee** will develop a plan for assessing and mitigating the risks within their volunteer programs,[4] to include at a minimum, procedures for ensuring potential SMP volunteers are adequately screened, trained and supervised.

5. The **Grantee** will ensure that volunteers have demonstrated mastery of basic information required to ensure a credible, professional and trusted SMP fraud prevention workforce. At a minimum, plans will provide that volunteers assigned to beneficiary education and assistance roles will successfully complete the SMP Foundations Training course, or an approved equivalent.

6. The **Grantee** will budget for participation by at least one project representative at a minimum of one SMP conference (national or regional) annually. In addition, the Grantee must submit the names of new SMP project directors to the Administration on Aging for approval prior to appointment and prior to being mentored by the Center.

7. The **Grantee** will record project activities related to program outreach and media events. Key activity data may be included in semiannual progress reports to the Administration on Aging.

8. The **Grantee** will collect and input project performance data into the SMP SMART FACTS system in a timely basis, in accordance with AoA guidelines and training. The Grantee will utilize the SMART FACTS system to record activity and outcome data on the OIG performance measures, ensuring accuracy of data in the system for retrieval by the OIG semiannually. Grantees are expected to keep project activity data current in this system to facilitate AoA and OIG evaluation of project performance. The Grantee is expected to have the project director complete the SMART FACTS

[3] Ibid.
[4] Ibid.

training series to ensure SMART FACTS data quality.

9. The **Grantee** will participate in a variety of project evaluations designed to assess the needs and improve the performance of the program.

10. The **Grantee** will work with the AoA project officer to review and evaluate performance results reported semiannually in both the AoA grants report and the OIG Performance Report and jointly develop strategies to address those areas requiring improvement.

11. The **Grantee** will submit materials developed through the project to the SMP Resource Center for posting in the website resource library (http:www.smpresource.org) in order to facilitate the sharing of resources throughout the SMP network.

12. The **Grantee** will comply with SMP Program Guidance issued by the Administration on Aging to ensure quality, effectiveness and consistency of program implementation.

The **Administration on Aging** agrees to work cooperatively in the development and execution of the activities of the project as follows:

1. The Administration on Aging and the **Grantee** will work cooperatively to clarify the issues to be addressed by the project and develop the workplan for each year of the project. Within 45 days of the new award or non-competing continuation award, the **Grantee** will agree upon and adhere to a work plan that details activities to achieve the elements contained in the cooperative agreement, including SMP strategic program objectives, with focus on increasing performance for the current budget period. The workplan will also include strategies for statewide coverage, timelines, staff /collaborator assignments, work locations, and areas that require Administration on Aging consultation, review, and/or prior approval.

2. The Administration on Aging and the **Grantee** will cooperatively use the SMP Project management and operation plan for monitoring and identification of technical assistance needs.

3. The Administration on Aging will assist the project leadership in understanding the policy concerns and/or priorities of the Assistant Secretary for Aging and the Department of Health and Human Services (DHHS) by conducting periodic briefings and by carrying out ongoing consultations.

4. The Administration on Aging will, if possible, be represented at meetings of the projects steering/advisory/policy committee.

5. The Administration on Aging will provide prior approval of all new key project personnel, and will refer the names of new SMP project directors to the SMP Resource Center within two weeks of appointment to receive SMP project orientation and toolkits.

6. The Administration on Aging will be provided a period of three weeks, prior to their release and/or publication, to review and comment upon all materials, reports,

documents, etc. produced by the project with funds provided through this award. After the three week review and comment period, the project is free to make such materials public, using the following disclaimer:

> "This report/document/etc. was supported, in part, by grant number (insert grant number) the U.S. Administration on Aging, Department of Health and Humans Services. Grantees undertaking projects under government sponsorship are encouraged to express freely their findings and conclusions. Points of view or opinions do not, therefore, necessarily represent official Administration on Aging policy."

7. All DHHS recipients must acknowledge federal funding when issuing statements, press releases, RFI's, bid proposals, or any other documents describing projects or programs funded in full or in part with federal funds.

8. The Administration on Aging has established the SMP Resource Center to enhance the effectiveness of the SMP projects' efforts to meet Administration on Aging and SMP program strategic objectives, by providing informational resources, technical assistance and support to the projects. The Center's website contains the professionally developed resources, materials and guidance to effectively support SMP volunteer risk and program management, volunteer training and SMART FACTS/performance management activities. In addition, the Center will provide technical support, mentoring, share successful models, products or practices, and provide information about other related projects and activities related to health care fraud and abuse.

9. The Administration on Aging will define project performance criteria and expectations and will use data recorded in the SMART FACTS system to monitor and evaluate grantee performance. AoA will provide support, in coordination with the Center, for projects' efforts in improving performance.

10. The Administration on Aging will establish SMP Program Guidance and provide training, technical assistance and support to the **Grantee** to facilitate effective implementation.

The **Grantee** understands that prior to the end of each budget period, the Administration on Aging will review the projects performance in deciding upon future funding. The funding decision will be based upon three standards of performance:

1) The extent to which the project achieves statewide coverage, expands volunteer capacity and management, and improves the efficiency and effectiveness of the program as demonstrated by increased performance in priority areas.

2) The quality and effectiveness of the **Grantees** work in fulfilling the elements herein of the cooperative agreement.

3) The management, tracking and reporting of project activities and results, including the required AoA grant reports and OIG performance reports, within established timeframes.

Once a cooperative agreement is in place, requests to modify or amend it or the work plan may be made by AoA or the awardee at any time. Modifications and/or amendments of the Cooperative Agreement or work plan shall be effective upon the mutual agreement of both parties, except where AoA is authorized under the Terms and Conditions of award, 45 CFR Part 74 or 92, or other applicable regulation or statute to make unilateral amendments. When an award is issued the cooperative agreement terms and conditions from the program announcement are incorporated by reference.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, lesbian, gay, bisexual, transgender (LGBT) organizations, hospitals, and institutions of higher education.

Under this competition AoA plans to fund one project in each of the following Jurisdictions*:* Alabama, California, Connecticut, Guam, Hawaii, Illinois, Indiana, Iowa, Louisiana, Maryland, Minnesota, Mississippi, Missouri, Nebraska, Nevada, New Hampshire, New York, North Carolina, North Dakota, Pennsylvania, Rhode Island, South Carolina, South Dakota, Utah, Vermont, Virgin Islands, Wisconsin, and Wyoming.

Applicants must clearly indicate the above project location for which consideration is sought. Applicants must submit separate applications if applying for more than one state or district.

The Administration on Aging (AoA) envisions the SMP program as the nationally recognized leader in prevention and identification of fraud and abuse in health care programs that affect the lives of elderly consumers. To achieve this vision, AoA has developed SMP Strategic Program Objectives, including Objective #1: Foster national and statewide program coverage. One strategy to achieve Objective #1 is to maximize opportunities to ensure that the SMP program is available to educate seniors in every U.S. state, district and territory. To ensure that limited OAA funding for this program is most effectively used to maximize national program coverage, it is necessary to limit the number of SMP grantees to one (1) per state or district. By eliminating duplicative or overlapping awards to more than one organization within a state, AoA not only maximizes national program coverage, but ensures greater equity in allocation of SMP services to elders irrespective of their state of residence.

2. Cost Sharing or Matching

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 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.

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. 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. **AoA encourages you to not exceed the minimum match requirement.** 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.

AoA takes very seriously the current downturn in the nation's economy; therefore, AoA may waive the matching requirement where severe hardship is documented by the applicant. If you feel unable to meet the minimum matching requirement, please provide a written justification, which explains why you cannot meet the match through cash or in-kind contributions. The written justification must be signed by your authorized representative and submitted with your application through http://www.grants.gov. AoA will review your request and contact you should additional information or justification be necessary. Applicants are encouraged to make this hardship determination during the application phase; waiver requests made after awards have been issued will be reviewed on a case-by-case basis.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications that do not meet the following responsiveness criteria will be administratively eliminated and will not be reviewed:

The successful SMP applicant will be an organization that meets the following basic evaluation criteria:

1. Demonstrated expertise in the implementation through collaboration and work with volunteers to achieve SMP program objectives;

2. Technological capacity to implement a web-based data collection, management tracking and reporting system; and

3. Organizational capacity to provide state-wide SMP program coverage.

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:

1. Applications must be submitted electronically via http://www.grants.gov by 11:59 p.m., Eastern Time, **March 19, 2012.**

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.

Unsuccessful submissions will require authenticated verification from http://www.grants.gov indicating problems existed at the time of your submission. For example, you will be required to provide an http://www.grants.gov submission error notification and/or tracking number in order to substantiate missing the application deadline.

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.

Please note, AoA is requiring applications for all announcements to be submitted electronically through http://www.grants.gov. The Grants.gov (http://www.grants.gov) registration process can take several days. If your organization is not currently registered with http://www.grants.gov, please begin this process immediately. **For assistance with http://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 http://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 (http://www.grants.gov).

Applications submitted via http://www.grants.gov:

- You may access the electronic application for this program on http://www.grants.gov. You must search the downloadable application page by the Funding Opportunity Number (HHS-2012-AoA**-MP-1202**) or CFDA number 93.048
- At the http://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 http://www.grants.gov because of the time involved to complete the registration process.

- 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.
  Note: Failure to submit the correct suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) **or receive subawards directly from the recipients of those grant funds** to:
  1. Be registered in the CCR prior to submitting an application or plan;
  2. Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
  3. Provide its DUNS number in each application or plan it submits to the OPDIV.

  An award cannot be made until the applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the OPDIV/STAFFDIV:
  - May be determined that the applicant is not qualified to receive an award; and
  - May use that determination as a basis for making an award to another applicant.

  Additionally, all first-tier subaward recipients must have a DUNS number at the time the subaward is made.
- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. 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 to access a guide: https://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf
- 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 http://www.grants.gov compatibility information and submission instructions provided at http://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 http://www.grants.govthat contains http://www.grants.gov tracking number. The Administration on Aging will retrieve your application form from http://www.grants.gov.
- After the Administration on Aging retrieves your application form from http://www.grants.gov, a return receipt will be emailed to the applicant contact. This

will be in addition to the validation number provided by http://www.grants.gov.

- Each year organizations registered to apply for Federal grants through http://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).

Contact person regarding this Program Announcement:

U.S. Department of Health and Human Services
Administration on Aging
Doris Summey
Center for Program Operations
Washington, D.C. 20201

Or by calling: 202-357-3533
Or e-mailing: Doris.Summey@aoa.hhs.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 purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. (See Attachment G) The deadline for submission of the letter of intent is March 1, 2012. Letters of intent should be sent to:

U.S. Department of Health and Human Services
Administration on Aging
Doris Summey
Center for Program Operations
Washington, D.C. 20201
Email: Doris.Summey@aoa.hhs.gov
Fax: 202-357-3560

b. 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 of the Project Narrative counted as part of the 20 page limit include:

Summary/Abstract
Problem Statement
Goal(s) and Objective(s)
Proposed Intervention
Special Target Populations and Organizations
Outcomes
Project Management
Evaluation
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 Title IV of the Older Americans Act. 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: goal(s), objectives, outcomes, and products to be developed. Detailed instructions for completing the summary/abstract are included in Attachment F of this document.

Problem Statement. This section should describe, in both quantitative and qualitative terms, the nature and scope of the health care fraud control problems or issues within the state that the proposed SMP Management and Operations Plan is designed to address. This should include an assessment of the extent and types of health care fraud and scams reported in the state, research results on the demographics of the population to be served, barriers to program access by beneficiaries across the state, and challenges to recruiting, training and managing SMP volunteers.

Goals and Objectives. This section should consist of a description of the project's goal(s) and major objectives. Proposed project goal(s) and objectives should be reflective of the priority activities discussed in SMP Strategic Program Objectives, (see pages 6-8).

Proposed Intervention. This section should provide a clear and concise description of the plans and activities you are proposing to use to achieve the project goals and objectives. This section should provide the detailed plan for the management and operation of the SMP project. Plans must address the key elements discussed on pages 8-10, including: statewide program coverage; development of partnerships; volunteer recruitment, screening, training and risk management; project training plans for staff and volunteers; and education and outreach strategies, including media activities. Also note how your project will be able to overcome the barriers or challenges discussed in the Problem Statement.

Special Target Populations and Organizations. This section should describe how your plan for researching the demographics of the population to be served, identifying barriers to program access, and developing outreach strategies specifically designed to overcome these barriers and better serve the target population, including g recruitment of volunteers with language and other skills to help reach minority communities.

Outcomes. This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. (NOTE: AoA will not fund any project that does not include measurable outcomes). As discussed on page 8, AoA utilizes the SMART FACTS system to collect data, track, assess, and measure a number of program outcomes which are measured annually by the Office of Inspector General (OIG).[5] In addition, AoA will use program data contained in SMART FACTS to assess SMP project progress in reaching SMP Strategic Program Objectives, including volunteer recruitment, training and management activities, populations served, and quality of grantee program efforts. Hence, applicant plans should discuss expected outcomes and link these outcomes to the project priorities and activities provided in the Proposed Intervention upon which the outcomes are based.

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. Your application will be scored on the clarity and nature of your proposed outcomes, not on the number of outcomes cited.

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, 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.

Evaluation. This section should describe your plan for evaluation of effectiveness of the proposed SMP Management and Operations Plan in achieving project outcomes. As discussed on pages 7-8, AoA utilizes the SMARTFACTS system to collect data, track, assess, and measure program outcomes. In addition, AoA will use data to assess SMP project progress in reaching SMP Strategic Program Objectives, including volunteer recruitment, training and management activities, populations served, and quality of grantee program efforts. Hence, applicant plans must discuss priorities, activities and staff/system capacity to capture project performance data accurately and timely.

Dissemination. This section should describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to the Center, AoA and other SMP projects or programs who might be interested in using the results of the project to improve practice, service delivery, program and partnership development.

Organizational Capability Statement. Each application should include an organizational capability statement and resumes for key project personnel. The organizational capability statement should describe the following: nature and scope of the mission and work of the

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5 http://www.smpresource.org/AM/Template.cfm?Section=OIG_Reports&Template=/CM/HTMLDisplay.cfm&ContentID=3519

organization; organizational resources available in support of the SMP project; current or previous relevant experience; past record of performance in relevant areas; and capability to sustain all or some project activities after Federal assistance has ended.

If appropriate, include an organization chart showing the relationship of the project to the current organization. Neither resumes 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.

c. 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 E.

d. 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. **Roles of key partners, including strategies to reach identified priority populations, must be documented with letters of commitment that detail the specific role, commitment and resources/activities in support of the project's effort that will be played by the collaborating organization. The organization's expertise, experience, and access to the targeted population(s) should also be described in the letter of commitment.**

For applications submitted electronically via http://www.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 202-357-3467 by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

e. 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 C, 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.

3. Submission Dates and Times

The deadline for the submission of applications under this Program Announcement is

March 19, 2012. Applications must be submitted electronically by **11:59 p.m. Eastern Time, March 19, 2012.**

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with **http://www.grants.gov**. Grants.gov can take up to 48 hours to notify you of a successful submission.

Unsuccessful submissions will require authenticated verification from **http://www.grants.gov** indicating system problems existed at the time of your submission. For example, you will be required to provide an **http://www.grants.gov** submission error notification and/or tracking number in order to substantiate missing the cut off date.

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

Note: A recent Government Accountability Office (GAO) report, number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. Executive Orders on Promoting Efficient Spending (EO 13589) and Delivering Efficient, Effective and Accountable Government (EO 13576) have been issued and instruct Federal agencies to promote efficient spending. Therefore, if meals are to be charged in your proposal, applicants should understand such costs must meet the following criteria outlined in the Executive Orders and HHS Grants Policy Statement:

Meals are generally unallowable except for the following:

- For subjects and patients under study (usually a research program);
- Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);
- When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;
- As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and
- Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplication in participants' per diem or subsistence allowances. (Note: conference grant means the sole purpose of the award is to hold a conference.)

6. Other Submissions Requirements

The optional letters of intent should be emailed or faxed to:

Doris Summey
Email: Doris.Summey@aoa.hhs.gov
Fax: 202-357-3560

V. APPLICATION REVIEW INFORMATION

1. Criteria

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

Project Relevance & Current Need - (10 points);

Approach - (50 points);

Budget – (10 points);

Project Impact - (15 points); and

Organizational Capacity - (15 points).

a. Project Relevance & Current Need **Weight: 10 points**

Does the proposed project provide a detailed description in both quantitative and qualitative terms, of the nature and scope of the health care fraud control problems or issues within the state that the proposed plan is designed to address? Does the problem statement include:

- an assessment of the extent and types of health care fraud and scams reported in the state,
- research results on the demographics of the population to be served,
- barriers to program access by beneficiaries across the state, and

- challenges to recruiting, training and managing SMP volunteers.

b. Approach **Weight: 50 points**

i. Does the proposed approach include a detailed Management and Operations Plan that addresses the SMP Strategic Program Objectives (pages 6-8)? Does the plan describe how statewide program coverage will be implemented? (10 points)

ii. Does the proposed Management and Operations Plan include an approach for assessing the risks of the SMP volunteer programs, for ensuring that volunteers are adequately screened, and for ensuring confidentiality of program information is maintained? Does the proposal include a training plan that that ensures volunteers are thoroughly trained and provided supervision and support to ensure the safety, integrity and professionalism of the SMP workforce? (10 points)

iii. Does the proposed Management and Operations Plan provide education and outreach strategies, including media activities and use of key partnerships, designed to overcome the barriers discussed in the problem statement, and better serve the target population groups? Does the plan include approaches for recruiting volunteers with language and other skills to help reach minority communities? (10 points)

iv. Does the proposal demonstrate the capacity to fully implement a web-based data collection and reporting system, ensuring program activities, including simple inquiries, outreach and education, volunteer management, and complex issues are accurately recorded and tracked in a timely manner? (10 points)

v. Is the project work plan clear and comprehensive? Does it include key task leaders, roles of staff/partners and feasible timeframes for the accomplishment of tasks presented? Does the work plan include specific goals and tasks that are linked to measurable outcomes? (10 points)

c. Budget **Weight: 10 points**

i. Is the budget justified with respect to the adequacy and reasonableness of 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? (5 points)

ii. Are budget line items clearly delineated and consistent with workplan objectives? (5 points)

d. Project Impact **Weight: 15 points**

i. Does the proposal clearly identify the measurable program outcomes that will results from the project? Are the expected outcomes linked to the priorities and activities addressed in the SMP Strategic Program Objectives? Is there a realistic plan to try to secure resources to continue some or all project activities after Federal financial assistance has ended? (10 points)

ii. Does the proposal contain a plan for evaluating the effectiveness of the proposed SMP Management and Operations Plan in achieving project outcomes? Does the plan discuss the method(s) to be used to disseminate the project's results to the SMP Center and the SMP network? (5 points)

e. Organizational Capacity **Weight: 15 points**

i. Are the roles and responsibilities of project staff, contractors and key partners delineated, and how they will contribute to implementation of the SMP Management and Operations Plan? Do the resumes of the proposed project director, key staff and consultants reflect the background, experience, and other qualifications required to carry out designated SMP roles and responsibilities, particularly project direction, volunteer management, data management, tracking and reporting, and SMP outreach and education? (10 points)

ii. Do letters of commitment document roles of key partners, including strategies to reach identified priority populations, detailing the specific role, commitment and resources/activities in support of the project's effort that will be played by each collaborating organization? (5 points)

2. Review and Selection Process

An independent review panel of at least three individuals will evaluate applications that pass the screening and meet the responsiveness criteria if applicable. 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 Application Review Criteria as outlined under section V.1, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria.

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.

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 generally notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail or U.S. mail. Unless indicated otherwise in this announcement, unsuccessful applications will not be retained by the agency and destroyed.

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, included in the Notice of

Award as well as implemented through the HHS Grants Policy Statement located at http://www.hhs.gov/grantsnet/adminis/gpd/index.htm.

3. Reporting

Effective March 1, 2011, AoA requires the submission of the SF-425 (Federal Financial Report). The reporting cycle will be reflected in the Notice of Award. The AoA program progress report is due within 30 days of the reporting period end date. The final progress report and SF-425 reports are due 90 days after the end of the project period.

Grantees are required to complete the federal cash transactions portion of the SF-425 within the Payment Managements System as identified in their award documents for the calendar quarters ending 3/31, 6/30, 9/30, and 12/31 through the life of their award. In addition, the fully completed SF-425 will be required as denoted in the Notice of Award terms and conditions.

4. FFATA and FSRS Reporting

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (http://www.FSRS.gov) for all sub-awards and sub-contracts issued for $25,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

For further guidance please see the following link:
http://www.aoa.gov/AoARoot/Grants/Reporting_Requirements/index.aspx

VII. AGENCY CONTACTS

Project Officer:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Doris Summey
Telephone: (202) 357-3533
E-mail: Doris.Summey@aoa.hhs.gov

Grants Management Specialist:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Sean Lewis
e-mail: grants.office@aoa.hhs.gov

VIII. OTHER INFORMATION

1. **Application Elements**

a. SF 424 – Application for Federal Assistance (See Attachment A for Instructions).

b. SF 424A – Budget Information. (See Attachment A for Instructions; See Attachment B for an example of a completed SF 424A).

c. Separate Budget Narrative/Justification (See Attachment C for a Budget Narrative/Justification Sample Format with Examples and Attachment D for a **Sample** Template).

NOTE: Applicants requesting funding for multi-year grant projects are REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi-year detailed Budget Narrative/Justification.

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).

e. Lobbying Certification

f. Proof of non-profit status, if applicable

g. Copy of the applicant's most recent indirect cost agreement, if requesting indirect costs. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

h. Project Narrative with Work Plan (See Attachment E, for Sample Work Plan Format).

i. Organizational Capability Statement and Vitae for Key Project Personnel.

j. Letters of Commitment from Key Partners, if applicable.

2. The Paperwork Reduction Act of 1995 (P.L. 104-13)

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 Narrative/Justification is approved under OMB control number 0985-0018 which expires on 8/31/13. 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 Required Forms
(SF 424, Budget (SF 424A), Budget Narrative/Justification)

Attachment B:
SF 424 – Sample Format with Example

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

Attachment D:
Budget Narrative/Justification – Sample Template

Attachment E:
Project Work Plan - Sample Template

Attachment F:
Instructions for Completing the Summary/Abstract

Attachment A: Instructions for Completing Required Forms

(SF 424, Budget (SF 424A), Budget Narrative/Justification)

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 (http://www.grants.gov).

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 (http://www.grants.gov). Your DUNS number can be verified at http://www2.zapdata.com/CompanyLookup.do.

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.
A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)

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. See the below website to find your congressional district:

http://www.house.gov/Welcome.shtml

17. **Proposed Project Start and End Dates**: (REQUIRED) Enter the proposed start date and final end date of the project**. 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.** In general, all start dates on the SF424 should be the 1st of the month and the end date of the last day of the month of the final year, for example 7/01/2012 to 6/30/2015. The Grants Officer can alter the start and end date at their discretion.

18. **Estimated Funding:** (REQUIRED) If requesting multi-year funding, enter the full amount requested from the Federal Government in line item 18.a., as a multi-year total. For example and illustrative purposes only, if year one is $100,000, year two is $100,000, and year three is $100,000, then the full amount of Federal funds requested would be reflected as $300,000. The amount of matching funds is denoted by lines b. through f. with a combined Federal and non-Federal total entered on line g. Lines b. through f. represents contributions to the project by the applicant and by your partners during the total project period, broken down by each type of contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

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 total project 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 (program income), enter only the amount, if any, that is going to be used as part of the required match. Program Income submitted as match will become a part of the award match and recipients will be held accountable to meet their share of project expenses even if program income is not generated during the award period.

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**. Examples of **non-Federal cash match** includes budgetary funds provided from the applicant agency's budget for costs associated with the project. 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.

> 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, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an approved cost allocation plan.**

AOA's Match Requirement

Under this and other OAA programs, 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** 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:

$$\frac{\text{Federal Funds Requested * Match Percentage}}{\text{Inverse Match Percentage}} = \text{Minimum Match Requirement}$$

Examples of varying match levels:

1) $\frac{\$100{,}000 \text{ (federal funds requested) * } 5\% \text{ (match)}}{95\%} = \$5{,}263$

2) $\frac{\$100{,}000 * 25\%\text{(match)}}{75\%} = \$33{,}333$

3) $\frac{\$100{,}000 * 35\%\text{(match)}}{65\%} = \$53{,}846$

4) $\frac{\$100{,}000 * 45\%\text{(match)}}{55\%} = \$81{,}818$

If the required non-Federal share is not provided by the completion date of the funded project period, AoA will reduce the Federal dollars awarded when closing out the award to meet the match percentage, which may result in a requirement to return Federal funds.

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 multi-year budget. See Attachment B.

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 1: 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 in Attachment C).

Column 2: 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 1 and 2) by object class category.

Section C – Non Federal Resources

Column A: Enter the federal grant program.

Column B: Enter in any non-federal resources that the applicant will contribute to the project.

Column C: Enter in any non-federal resources that the state will contribute to the project.

Column D: Enter in any non-federal resources that other sources will contribute to the project.

Column E: Enter the total non-federal resources for each program listed in column A.

Section D –Forecasted Cash Needs

Line 13: Enter Federal forecasted cash needs broken down by quarter for the first year only.

Line 14: Enter Non-Federal forecasted cash needs broken down by quarter for the first year.

Line 15: Enter total forecasted cash needs broken down by quarter for the first year.

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial start up costs in the first quarter of your award reflect that in quarter one or you do not expect to have contracts awarded and funded until quarter three, reflect those costs in that quarter.

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project (i.e. subsequent years 2, 3, 4 or 5 as applicable).

Column A: Enter the federal grant program

Column B (first): Enter the requested year two funding.

Column C (second): Enter the requested year three funding.

Column D (third): Enter the requested year four funding, if applicable.

Column E (forth): Enter the requested year five funding, if applicable.

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

Line 22: Enter the total Direct charges (calculation of indirect rate and direct charges).

Line 23: Enter any pertinent remarks related to the budget.

Separate Budget Narrative/Justification Requirement

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 for the thresholds as established in the examples. 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, which should be included under 6h - Other.
In the Justification: Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget 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: If the total fringe benefit rate exceeds 35% of Personnel costs, provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a break down but you must show the percentage charged for each full/part time employee.

Line 6c: **Travel**: Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under Other. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.
In the Justification: Include the total number of trips, number of travelers, destinations, purpose (e.g., attend conference), length of stay, subsistence allowances (per diem), 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. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its sub-grantees.

Line 6e: **Supplies**: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.
In the Justification: . For any grant award that has supply costs in excess of 5% of total direct costs (Federal or Non-Federal), you must provide a detailed breakdown of the supply items (e.g., 6% of $100,000 = $6,000 – breakdown of supplies needed). If the 5% is applied against $1 million total direct costs (5% x $1,000,000 = $50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of $5,000 or less regardless of total direct costs does not require a detailed budget breakdown (e.g., 5% x $100,000 = $5,000 – no breakdown needed).

Line 6f: **Contractual**: Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.
In the Justification: Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at $100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR 74.44 for non-profits and 92.36 for states, in lieu of providing separate detailed budgets. This certification should be referenced in

the justification and attached to the budget narrative.

Line 6g: **Construction**: Leave blank since construction is not an allowable costs for this 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, 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.

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. If meals are to be charged towards the grant they must meet the following criteria outlined in the Grants Policy Statement:

- *Meals are generally unallowable except for the following:*
- *For subjects and patients under study(usually a research program);*
- *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);*
- *When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;*
- *As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and*

Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances (Note: the sole purpose of the grant award is to hold a conference).

In the Justification: Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the work plan or indicate where it is described 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. **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 rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the Federal share of your direct costs. Any unused portion of the grantee's eligible Indirect

Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

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 that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

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.

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.

Attachment B: Standard Form 424A – Sample Format

OMB Approval No. 0348-0044

BUDGET INFORMATION--Non-Construction Programs

SECTION A-BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. LifeSpan Respite	93.048			340,294	113,433	453,727
2.						
3.						
4.						
5. **TOTALS**				340,294	113,433	453,727

SECTION B-BUDGET CATEGORIES

6. **Object Class Categories**	GRANT PROGRAM, FUNCTION OR ACTIVITY				**Total** (5)
	(1) Year 1	(2) Year 2	(3) Year 3	(4)	
a. **Personnel**	71,254	30,000	35,000		136,254
b. **Fringe Benefits**	26,114	15,000	20,000		61,114
c. **Travel**	7,647	5,000	5,000		17,647
d. **Equipment**	10,000	0	0		10,000
e. **Supplies**	9,460	2,500	1,000		12,960
f. **Contractual**	30,171	0	0		30,171
g. **Construction**	0	0	0		
h. **Other**	11,480	55,833	47,334		114,647
i. **Total Direct Charges** (sum 6a-h)	166,126	108,333	108,334		382,793
j. **Indirect Charges @**	20,934	25,000	25,000		70,934
k. **TOTALS** (sum 6i and j)	187,060	133,333	133,334		453,727
7. **Program Income**	None				

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SECTION C-NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other sources	(e) TOTALS
8. Life Span Respite	80,886		32,547	113,433
9.				
10.				
11.				
12. **TOTALS** (sum of lines 8 and 11)	80,886		32,547	113,433

SECTION D-FORECASTED CASH NEEDS					
13. **Federal**	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	140,294	20,000	50,000	20,000	50,294
14. **Non-Federal**	46,766	12,000	10,000	9,000	15,766
15. **TOTAL** (sum of lines 13 and 14)					

SECTION E-BUDGET ESTIMATES OF <u>FEDERAL</u> FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d)	(e)
16. Life Span Respite	100,000	100,000		
17.				
18.				
19.				
20. **TOTALS** (sum of lines 16-19)				

SECTION F-OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)	
21. **Direct Charges:**	22. **Indirect Charges:**
23. **Remarks**	

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Attachment C: Budget Narrative/Justification – Sample Format

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$47,700	$23,554	$0	$71,254	**Federal** Project Director (name) = .5 FTE @ $95,401/yr = $47,700 **Non-Fed Cash** Officer Manager (name) = .5FTE @ $47,108/yr = <u>$23,554</u> Total $71,254
Fringe Benefits	$17,482	$8,632	$0	$26,114	**Federal** Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Travel	$4,707	$2,940	$0	$7,647	**Federal** Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles $2,457 Lodging: 15 days @ $110/day $1,650 Per Diem: 15 days @ $40/day $600 Total $4,707 **Non-Fed Cash** Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ $500 $1,500 Lodging: 3 days x 3 staff @ $120/day $1,080 Per Diem: 3 days x 3 staff @ $40/day $360 Total $2,940
Equipment	$10,000	$0	$0	$10,000	*No Equipment requested OR:* Call Center Equipment Installation = $5,000 Phones = $5,000 Total $10,000
Supplies	$3,700	$5,784	$0	$9,484	**Federal** 2 desks @ $1,500 $3,000 2 chairs @ $300 $600 2 cabinets @ $200 $400 **Non-Fed Cash** 2 Laptop computers $3,000 Printer cartridges @ $50/month $300 Consumable supplies (pens, paper, clips etc…) @ $182/month $2,184 Total $9,484

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Contractual	$30,171	$0	$0	$30,171	(organization name, purpose of contract and estimated dollar amount) Contract with AAA to provide respite services: 11 care givers @ $1,682 = $18,502 Volunteer Coordinator = $11,669 Total $30,171 *If contract details are unknown due to contract yet to be made provide same information listed above and:* A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other	$5,600	$0	$5,880	$11,480	**Federal** 2 consultants @ $100/hr for 24.5 hours each = $4,900 Printing 10,000 Brochures @ $.05 = $500 Local conference registration fee (name conference) = $200 Total $5,600 **In-Kind** **Volunteers** 15 volunteers @ $8/hr for 49 hours = $5,880
Indirect Charges	$20,934	$0	$0	$20,934	21.5 % of salaries and fringe = $20,934 IDC rate is attached.
TOTAL	$140,294	$40,910	$5,880	$187,084	

Attachment D: Budget Narrative/Justification — Sample Template

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

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Attachment E: Project Work Plan – Sample Template

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a Project Work Plan for EACH potential year of grant funding requested.

- **Goal:**
- **Measurable Outcome(s):**

* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														
2.														

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Attachment E: Project Work Plan, Page 2 – Sample Template

o **Goal:**

o **Measurable Outcome(s):**

* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	**Key Tasks**	**Lead Person**	**1***	**2***	**3***	**4***	**5***	**6***	**7***	**8***	**9***	**10***	**11***	**12***
3.														
4.														

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Attachment E: Project Work Plan, Page 3 – Sample Template

- **Goal:**
- **Measurable Outcome(s):**

* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
5.														
6.														

- **NOTE: Please do note 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.**
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Attachment F: Instructions for Completing the Project Summary/Abstract

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- 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, limit the length to 265 words or less, 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") to attain the goal(s).

  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 Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite services through the Delaware ADRC; 4) to increase availability of respite services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.

Attachment G: The Optional Letter of Intent to Apply

HHS-2012-AOA-MP-1202

Optional submission by Email Preferred to: Doris.Summey@aoa.hhs.gov
Or Fax: 202-357-3560

Please complete and return by March 1, 2012

1. **Name of State:**	
2. **Applicant Legal Name**	
3. **Insert Type of Applicant Code ***	
4. **Contact Name and Title**:	
5. **Phone:**	
6. **E-mail address:**	

**** From Application for Federal Assistance SF 424 item 9***

A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized)
J. Indian/Native American Tribal Government (Other than Federally Recognized)
K. Indian/Native American Tribally Designated Organization
L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)
N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
O. Private Institution of Higher Education P. Individual
Q. For-Profit Organization (Other than Small Business) R. Small Business
S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs)
V. Alaska Native and Native Hawaiian Serving Institutions
W. Non-domestic Entity (NON-US NOT ELIGIBLE)
X. Other (specify)