

Updated January 12, 2012

OMB Approval No. 0985-0018

Expiration 08/31/2013

**U.S. Administration on Aging
2012 Lifespan Respite Care Program –
Grants to States**

Option 1: Grants to New States

Option 2: Building Integrated & Sustainable
Lifespan Respite Care Programs

**Program Announcement and Grant Application
Instructions**

**U.S. Administration on Aging
FY 2012**

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Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center: Office of Home and Community Based Services

Funding Opportunity Titles:

Option 1: Grants to New States

Option 2: Building Integrated & Sustainable Lifespan Respite Care Programs

Announcement Types:

Option 1: Initial

Option 2: Initial

Funding Opportunity Numbers:

Option 1: HHS-2012-AoA-LR-1203

Option 2: HHS-2012-AoA-LI-1205

Catalog of Federal Domestic Assistance (CFDA) Number: 93.072

Key Dates: The deadline date for submission of all applications is 11:59 p.m., Eastern Time, on **May 14, 2012**.

- **Open Information Teleconference for Applicants:** March 22 , 2012
Time: 2:00 PM Eastern
Telephone Number: 1-888-324-7504
Participant Pass Code: LIFESPAN
- **Letters of Intent due:** April 2, 2012
- **Projected Start Date:** August 1, 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.

Executive Summary:

The U.S. Administration on Aging (AoA) is providing this competitive grants opportunity to eligible state agencies for implementing the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-442). AoA plans to fund applications under the following two Options:

- **Option 1** will fund up to approximately five (5) grants to New States, with a federal funding level of up to \$200,000 per award for a 36 month project period, pending the availability of funds; and
- **Option 2** will fund up to approximately five (5) grants to those States originally funded in FY 2009, with a federal funding level of up to \$250,000 per award for a

project period of seventeen (17) months and twenty-nine (29) days, pending the availability of funds.

Eligible state agencies funded under this announcement shall use grant funds for purposes specific to each funding option:

- **Option 1:** for planning, establishing and expanding/enhancing Lifespan Respite Care systems in the states, including new and planned emergency respite services, training and recruiting respite workers and volunteers and assisting caregivers with gaining access to needed services.; and
- **Option 2:** for bringing to scale and more fully integrating respite services across the lifespan with continued and measurable progress towards the realization of sustainable Lifespan Respite systems.

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

- Administer the State's programs under the Older Americans Act of 1965;
or
- Administer title XIX of the social Security Act; **or**
- Are designated by the Governor of the State to administer the State's programs under this title; **AND** who are
- An aging and disability resource center working in collaboration with a state respite coalition or organization; **AND**
- **For Option 1** - did not receive funding under this program in FYs 2009, 2010 or 2011; or
- **For Option 2** – is one of the 12 states who received funding in FY 2009

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

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

I. FUNDING OPPORTUNITY DESCRIPTION

Purpose

The U.S. Administration on Aging (AoA) is providing this competitive grants opportunity to assist eligible state agencies with implementation of the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-442). Eligible State agencies receiving funding under this Announcement will work through aging and disability resource centers and in collaboration with state respite coalitions or other state respite organizations to enhance and expand the availability of Lifespan respite services in the state. This Program Announcement contains two separate funding options, each with specific eligibility criteria and required elements.

Successful applicants under **Option 1** of this competitive grants opportunity will be required to establish state and local coordinated Lifespan Respite Care systems to serve family caregivers regardless of age or special need of the care recipient. Grantees will also be required to develop and provide new and planned emergency respite services, train and recruit respite workers and volunteers and assist caregivers in gaining access to respite care services. Successful applicants under **Option 2** will be expected to bring to scale and more fully integrate respite services across the lifespan with continued and measurable progress towards the realization of sustainable Lifespan Respite systems.

Eligible respite recipients include family members, foster parents, or other adults providing **unpaid** care to adults who require care to meet basic needs or prevent injury and to children who require care beyond that required to meet the basic needs of the child. Further, all programs developed under either Option of this Announcement must, from the outset, address the respite needs of **all** age and disability/special needs populations. No phase-in or preference for specific age groups or disability categories will be permitted.

Applicants responding to either Funding Option should be aware that *this is a highly competitive opportunity*. Limited funds are available to support applicants' proposed projects. Therefore only those applications deemed to show the greatest likelihood of success under either Option will be selected for funding. Applications will be evaluated on the extent to which each of the required elements described in this Announcement is addressed in application narratives and supporting documents.

Background

Who are caregivers?

Caregivers are often referred to as the backbone of America's long-term care system. On a daily basis, family caregivers assist relatives and other loved ones with a broad range of tasks ranging from routine to complex. A 2009 study examining the prevalence and experiences of family caregivers estimated that 65.7 million people in the U.S. were unpaid family caregivers to an adult or child. Nearly 32 percent (36.5 million) of U.S. households reported the presence of a family caregiver during the same 12 months.¹

Caregivers may be found in every community and come from every walk of life. Caregivers are male and female, younger and older, and may or may not possess adequate financial resources to meet their own daily needs or the needs of those for whom they care. In addition to what is known about the "typical" family caregiver, we also know that they can be:

- "Sandwiched" between two generations of individuals needing care: young children and aging family members;
- Grandparents or other relatives of children, with or without disabilities;
- Younger individuals caring for a parent, grandparent or sibling;
- Caring for adults over the age of eighteen with special needs; and

¹ National Alliance for Caregiving/AARP. *Caregiving in the U.S. 2009*. Bethesda, MD: National Alliance for Caregiving and Washington, D.C.: AARP, 2009.

- Families of military personnel returning from combat with traumatic brain injuries, and other serious chronic and/or debilitating conditions.

While the spectrum of individuals classified as “family caregivers” is diverse, one fact remains: family caregivers often do not recognize that they are caregivers and if they do reach out for help, it is often too late. Most often, caregivers view their work as fulfilling a familial role. And, when caregivers do ask for assistance, they often encounter fragmented, narrowly targeted programs or are unable to afford the respite options available to them.² Many family caregivers lack sufficient information about where to find supportive services, including respite, or how to choose from among the available.

For the purposes of this Program Announcement, family caregivers include grandparents, of any age, who are primary caretakers of children or adults with special needs. Further, “unpaid family caregivers” are those caregivers who do not receive funding to provide care as their primary means of income.

What is Respite?

Respite is temporary relief for caregivers from the ongoing responsibility of caring for an individual of any age with special needs. Respite is intended to strengthen the family system while protecting the health and well being of both caregiver and care recipient and is a key component of long-term care services.

Currently, several Federal, state and private funding streams support, or have the potential to support, planned and emergency or crisis respite care for caregivers. Each program typically contains specific eligibility requirements in order to receive services, potentially creating difficulties in accessing services and gaps in service availability.³ For example, the National Family Caregiver Support Program (NFCSP) is designed to address difficulties and service gaps, providing a range of services to meet the diverse needs of caregivers, including respite, access to assistance and caregiver training and education. Section 1915(c) and 1115 Medicaid waivers also include provisions for respite care and permit states to include respite option. Additionally, there are demonstration projects, model grants and other initiatives that include respite care for families of children with developmental disabilities.

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

² Whitlatch, C.J. and Feinberg, L.F. Family and Friends as Respite Workers. *Journal of Aging Social Policy*. New York: Routledge, 2006. 18(3-4): 127-139. AND Yanizi, NM, Rosenberg, MW, and McKeever, P. *Getting out of the House: The Challenges Mothers Face When their Children Have Long-Term Care Needs*. 2007, Health Soc. Care Community 15 (1):45-55.

³ For a number of resources and publications related to various respite programs and funding streams across the lifespan, visit the ARCH National Respite Network and Resource Center web site at: http://www.lifespanrespite.memberlodge.org/Federal_Funding_Guide and <http://www.archrespite.org/productspublications/products-and-publications#federalfunding>

information about respite programs, identify and fill gaps in available respite options, recruit and train respite providers and volunteers, and improve the overall quality of available respite resources is a central component of the Lifespan Respite Care Act of 2006.

The Lifespan Respite Care Act – Overview

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

The Act is intended to accomplish several objectives. **First**, because respite is often in short supply or inaccessible to people of all ages and disabilities, the Act seeks to expand and enhance respite services in the states. **Second**, multiple respite programs are often funded through a variety of sources in the states. The Act is designed to improve coordination and dissemination of service delivery between the various programs. **Third**, consumers may experience difficulties in navigating the multiple respite programs that exist. The complicated nature of screening requirements can result in service gaps which are directly attributable to the unique eligibility criteria of the various programs. The Act seeks to improve access to programs by streamlining the means by which consumers access them and by filling service gaps where necessary. **Finally**, by expanding and enhancing respite services, and improving coordination and access, the Act is designed to improve the overall quality of the respite services currently available.

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

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

Current Program Status

Lifespan Respite Programs have been in existence in states since the 1990's. Several state lifespan respite care programs came into existence through state legislation while others relied on the commitments and activities of a dedicated group of volunteers to implement a program without authorizing legislation.⁴ The early efforts by states helped to create community-based networks of local partnerships, including family caregivers, providers,

⁴ For more information on the status of Lifespan Respite Programs in the states, visit the ARCH National Respite Network's web site at: <http://chtop.org/ARCH.html>

state and federally funded programs, area agencies on aging, non-profit organizations, health services, local businesses and faith-based organizations all working to ensure capacity of available respite and related services. These programs were the precursors to and inspiration for the Federal program created in 2006 with the passage of the Federal Lifespan Respite Care Act.

Status of the Federal Lifespan Respite Care Program

Beginning in FY 2009 and for each year since, Congress appropriated approximately \$2.5 million for grants to eligible State agencies to implement the Federal Lifespan Respite Care program. In three years of program implementation activity, AoA has funded 30 states to help them develop and implement Lifespan Respite Care Programs.

To date, the grantees have made considerable progress towards building sustainable programs capable of meeting the respite care needs of caregivers across the lifespan.⁵ Since 2009, many states have performed needs assessments and environmental scans to determine the respite funding streams available, programs in existence, data collection, populations served and gaps in each area and they have broadened stakeholder collaborations to ensure representation of all age, disability groups as well as the broadest possible cross section of the provider network.

Other critical activities of grantees to develop comprehensive and sustainable Lifespan Respite Programs have focused on:

- Outreach and education to caregivers;
- Developing, expanding and enhancing ADRC databases and web sites to make respite information and access more easily attainable;
- Addressing the emergency respite needs of family caregivers through partnerships with Child and Adult Protective Services;
- Working with the faith-based organizations and churches and synagogues to develop community-wide respite options; and
- Increasing the workforce available to provide respite by recruiting, training and retaining volunteers to fill gaps in respite services.

Applicants under either option of this Program Announcement are encouraged to consider a broad range of possible approaches, strategies and partnerships in carrying out the requirements of either funding option within this program announcement.

Required Activities and Use of Funds:

The overarching goal of this program announcement is to support the development, implementation and further integration of the requirements of the Lifespan Respite Care Act of 2006. Under both funding Options described below, AoA will only fund projects that propose to serve all eligible respite recipients, including family members, foster parents, or other adults providing unpaid care to adults needing care to meet basic daily needs or prevent injury **and** to children who require care beyond that required to meet their basic needs.

⁵ For more information about the current Lifespan Respite Care Program grantees and their activities, please visit AoA's web site at: http://www.aoa.gov/AoARoot/AoA_Programs/HCLTC/LRCP/index.aspx

Applicants for either Option 1 (Grants to New States) or Option 2 (Integration & Sustainability Grants) are expected to address the specific requirements associated with each Funding Option described below **AND** the *Additional Required Activities* described in the section beginning on Page 10.

Funding Option 1 (HHS-2012-AoA-LR-1203) – Grants to New States

Successful applicants under **Option 1** of this Program Announcement must meet the unique needs of the states in which they operate and employ a coordinated approach for ensuring statewide availability of respite services and should carefully describe their state's present ability to meet the respite needs of family caregivers across the lifespan. In doing so, applicants should describe their approach for establishing a baseline of knowledge from which to evaluate measurable progress in program development over the course of the grant.

Application narratives should clearly and completely describe the eligible State agency's plan for implementing the required services and any optional services listed below. Within that framework, each applicant under this Option must fully describe how their program will, at a minimum:

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

Each eligible State agency awarded a grant under Option 1 shall use all or part of the funds awarded for the following **required** services:

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

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

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

During the first year of grant activity, grantees funded under this Option will be required to work with the Technical Assistance Resource Center for Lifespan Respite, the AoA Program Officer and in collaboration with other Lifespan Respite grantees on a standard approach for creating a performance measurement and data collection framework. During the second and third year of their projects, grantees will be expected to implement that framework and begin collecting data on systems development, service provision and other

measures identified as necessary to performance measurement. (See page 14 for additional requirements in this area)

Funding Option 2 (HHS-2012-AoA-LI_1205) – Building Integrated & Sustainable Lifespan Respite Programs

Successful applicants under **Option 2** are required to use funds to provide the required and, if desired, the optional services outlined above and demonstrate how proposed projects will build upon the achievements of their FY 2009 Lifespan Respite Care grant programs. In doing so, applicants should describe how they will bring to scale and more fully integrate respite services across the lifespan and continue progress towards the development of sustainable Lifespan Respite systems. Applicants should clearly describe how projects will continue to implement the required services listed above while focusing on the following areas:

- **Service provision** – gaps continue to be identified in available respite services across age and disability spectrum. Successful applicants will be expected to propose projects that take to scale replicable and sustainable models of respite service delivery such as voucher and volunteer programs, respite cooperatives, and programs developed in the faith community.
- **Data collection and reporting** – states funded under this option will be required to propose methods of data collection and reporting to capture caregivers served along with measurable outcomes and/or bring to scale and refine data collection methods begun under their FY 2011 Expansion Supplement. Additionally, grantees funded under Option 2 will be required to work with the Technical Assistance Resource Center for Lifespan Respite, the AoA Program Officer and in collaboration with other Lifespan Respite grantees on a standard approach for creating a performance measurement and data collection framework. (See page 15 for further guidance)
- **Workforce development and training** – the Lifespan Respite Care Act mandates the recruitment and training of respite providers, including volunteers. States funded under this option will be expected to more fully implement and/or bring to scale training programs designed to bolster the cadre of available respite providers.
- **Program integration** - the important role of family caregivers is being recognized across more sectors of publically and privately funded long-term services and supports (e.g., VA, MFP, Medicaid, state). With this growing recognition comes the necessity to ensure caregiver support services, especially respite and its ancillary components of information, access and training are coordinated and made available to caregivers. Successful grantees will be expected to demonstrate the degree to which Lifespan Respite funds are brought to bear on ensuring respite services are considered comprehensively and in a coordinated fashion.

Additional Required Activities: Options 1 and 2/All Applicants

AoA understands that the current status of program development may vary from state to state. AoA also recognizes that not all states will start from the same place in designing or bringing to scale and integrating existing programs. Therefore, all proposals will be evaluated based on the **extent of the progress** a state expects to make under the grant in developing new Lifespan Respite Programs (Option 1) or building upon previous projects (Option 2). Applicants will be required to fully describe their state's present capacity to

deliver Lifespan Respite and how their proposed activities build upon and strengthen those capacities.

New states applying for funding under Option 1 will be successful in their applications for funding by completely describing the extent to which progress can be demonstrated (e.g., by adding additional functions, expanding target group coverage, etc.) in building new or expanding upon existing respite programs and systems. States applying for funding under Option 2 must describe how their proposed projects advance previous efforts in this area. All applicants must propose projects that fully implement the required services specified by the Lifespan Respite Care Act, on a statewide basis while demonstrating:

- **A thorough understanding of the population to be served.** Knowledge of the family caregiver population for whom lifespan respite program services are to be provided, or for whom respite care workers and volunteers will be recruited and trained, is an essential requirement of any successful application under this Announcement.

Applicants for **Option 1** must fully describe the needs of the caregiver population and the current respite infrastructure in the state. The proposed intervention must fully describe how respite information dissemination and coordination, respite care services and worker and volunteer recruitment and training will be carried out. The plan for administering, collaborating, and coordinating respite care activities in the state with other related services or programs must also be described.

Applicants for **Option 2** must build upon the understanding of the population to be served gained as a result of their previous projects. Additionally, the intervention must fully describe how this knowledge will be brought to bear on the further development and integration of the Lifespan Respite Care Program concept and philosophy.

Applicants for both Options should refer to *Section IV, 2.b* (Pages 21-24) of this Announcement for a full description of legislatively mandated application narrative requirements.

- **Coordination with, and on behalf of, existing respite programs and infrastructures.** The Lifespan Respite Care Act is designed to facilitate coordination between respite programs in the state, thereby reducing or eliminating duplication of effort and assisting in the development of statewide respite care infrastructure. Grantees under this Program Announcement are required to coordinate with existing public or private respite care programs already in existence when implementing State or local respite programs.

Applicants for **both Options** should describe their approach for working with public and private non-profit State respite coalitions or respite organizations to implement a lifespan respite program

- **How proposed programs will help families to better navigate the respite care system and gain access to the programs most appropriate for their needs.** Once operational, Lifespan Respite Programs should assist families by first identifying current respite funding streams in the State and assisting families in determining for which existing program they are eligible. Families who do not qualify for any existing

respite programs or services may have those services paid for by the Lifespan Respite Care Program.

Applicants under **Option 1** of this announcement should clearly describe their approach for coordinating and improving access to existing respite programs and services and filling gaps where necessary.

Applicants under **Option 2** should describe how proposed activities will further enable families to navigate available service options and gain access to those services.

- **How all family members, regardless of age or disability will be served.** When preparing applications for submission, states are reminded that the Lifespan Respite Care Act is intended to improve the delivery and quality of respite services available in a state or locality to families across the age and disability spectrum by establishing coordinated lifespan respite *systems*. All family members, regardless of the age, disability or chronic condition of their loved ones, should be able to access a Lifespan Respite Program to obtain information on how and where to find respite services and providers from among those currently existing.

Applicants under **both Options** of this Program Announcement are required to describe their plan for serving all age groups and disability categories, without preference for a select demographic group or disability population.

- **Stakeholder collaboration and full implementation.** Successful applications will demonstrate the broadest possible collaboration with relevant respite stakeholders from across the age and disability spectrum. Further, applicants must propose a program that immediately addresses the respite needs of all ages and special needs categories. ***No phase-in or preferences for age groups or disability categories will be permitted.***

Applications submitted for **both Options** of this Announcement must include a description of the eligible State agency's:

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

Additionally, a memorandum of agreement regarding the joint responsibility for the eligible State agency's lifespan respite program between the eligible State agency and a public or private nonprofit **statewide** respite coalition or organization must be in place at the time of application. Applicants are encouraged to embed the flexibility of all parties to the Agreement to modify scope, tasks or partnerships at any time. **A copy of such memorandum must be included as part of ALL application packages.**

Applicants should describe the following *required, optional or encouraged* elements and activities in their applications:

Grants and Subcontracts (Optional)

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

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

Stakeholder Involvement and Partnerships (Required)

Grantees must carry out the activities of their programs in collaboration with a non-profit statewide respite coalition or organization and in partnership with all relevant stakeholders at the state and local levels. Applicants should detail the means by which the respite coalition/organization and the ADRC will work collaboratively with the grantee in designing, implementing and managing the program.

In addition to the core partnership between grantee, ADRC and Respite coalition, projects must work in conjunction with all relevant stakeholders to ensure the program reaches the broadest population of eligible services recipients possible. Potential stakeholders include (a) entities of state and local government that administer and deliver human services programs designed to meet the respite care needs of family caregivers; and (b) state and local chapters of organizations and entities representing individuals with special needs from across the disease and disability spectrum and for whom respite is an essential component of their ongoing support in a community setting.

Applications should clearly demonstrate the involvement of key state- and local-level organizations and stakeholders from across the age and disability spectrum as full partners in the design, implementation, and evaluation of the Lifespan Respite Program. For example, such a group might include but is *not limited to*:

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

Products (Required)

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

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

Information Sharing and Programmatic Monitoring (Required)

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

Performance Measurement and Data Collection (Required)

As AoA continues to implement the Lifespan Respite Program, the development of a minimum program data set and performance measures that illustrate the capacity of the program to more fully meet the respite needs of all family caregivers is essential. Successful applicants funded under **Options 1 and 2** shall collaborate with the AoA Program Officer, the Technical Assistance Center for Lifespan Respite Care Programs and their fellow grantees to, at a minimum: 1) design and implement (where necessary and appropriate) environmental scans and statewide needs assessments to determine programmatic and service needs pertaining to Lifespan Respite Programs; 2) develop, agree upon and collect a minimum data set associated respite service delivery across multiple funding streams and programs, including services provided with Federal Lifespan Respite Funds; 3) participate in the development of a Performance Measurement strategy and framework; and 4) pilot test strategies, tools and approaches for data collection and performance measurement.

Participation in and Collaboration with Technical Assistance Efforts (Required)

Successful grantees under this Program Announcement will be expected to participate in technical assistance activities as they pertain to Lifespan Respite Care Program development, management, and expansion. This includes but is not limited to participation in regularly scheduled conference calls, web casts and one-on-one Technical Assistance opportunities initiated by the AoA Project Officer, the Lifespan Respite Program Technical Assistance Resource Center, or as requested by the grantee and stakeholders themselves. Additionally, the AoA Project Officer will, on a semi-annual basis, review grantee progress reports and schedule an individual teleconference with each grantee to review progress reports, evaluate progress on work plan tasks, and offer technical assistance with all aspects of program management.

National Respite Conference and Grantee Meeting (Encouraged)

Grantees are strongly encouraged to budget resources for travel to and participation in the National Respite Conference, convened annually by ARCH. This conference provides participants with the opportunity to learn about the latest trends in respite program development and with the opportunity to network and share best practices associated with Lifespan Respite Care Program implementation.

Statutory Authority

The statutory authority for grants under this program announcement is contained in Title XXIX of the Public Health Service Act (42 U.S.C. 201 et seq.), as amended by the Public Health Service Act P.L.109-442. (Catalog of Federal Domestic Assistance 93.072).

II. AWARD INFORMATION

The amount of Federal funds available for this new funding opportunity is approximately \$2,250,000. Grantees are required to provide at least a 25% match of total project cost. Funds made available under this Announcement shall be used to supplement and must not supplant other Federal, State, and local funds available for respite care services.

Funding decisions for Options 1 and 2 of this Program Announcement are at the discretion of the Assistant Secretary for Aging. Only those applications in each Option that rank the highest in a third party review will be recommended for funding by the AoA Program Officer. It is anticipated that not all applications will be funded. Further, when awarding grants under this Announcement, priority consideration will be given to eligible State agencies showing the greatest likelihood of implementing or enhancing lifespan respite care programs statewide and who are building or enhancing the capacity of their long-term care systems to respond to the comprehensive needs, including respite care needs, of their residents.

Funding Option 1: Grants to New States (HHS-2012-AoA-LR-1203):

Award type: Grants to Eligible State Agencies

Estimated Federal Funds Available: Up to \$1,000,000

Estimated Number of Awards: Up to approximately 3-5 Grants

Projected Start Date: August 1, 2012
Estimated Award Amount: Up to \$200,000
Estimated Project Length: 36 Months

The AoA plans to fund up to approximately five (5) grants under this Option, with a federal funding level of up to \$200,000 per award for a 36 month project period, pending availability of federal funds. Funding will be allocated in total at the time of the award. Grantees shall use funds under this Option for the purposes of planning and establishing Lifespan Respite Care systems, as outlined in the Lifespan Respite Care Act of 2006.

Because the nature and scope of the proposed projects will vary from application to application, it is anticipated that the size of each award will also vary. Funding awards will be reflective of the scope of work proposed by each applicant. AoA reserves the right to offer a funding level that differs from the requested amount. It is likely that not all applications received under this Option will be funded.

Funding Option 2: Building Integrated & Sustainable Lifespan Respite Care Programs (HHS-2012-AoA-LR-1205):

Award type: Grants to Eligible State Agencies
Estimated Federal Funds Available: Up to \$1,250,000
Estimated Number of Awards: Up to approximately 3-5 Grants
Projected Start Date: August 1, 2012
Estimated Award Amount: Up to \$250,000
Estimated Project Length: 17 Months, 29 days

The AoA plans to fund up to approximately five (5) grants under this Option, with a federal funding level of up to \$250,000 per award for a project period of 17 months and 29 days, pending availability of federal funds. Grantees funded under this Option shall use funds for the purposes of bringing to scale and more fully integrating respite services across the lifespan with continued and measurable progress towards the realization of sustainable Lifespan Respite systems.

Because the nature and scope of the proposed projects will vary from application to application, it is anticipated that the size of each award will also vary. Funding awards will be reflective of the scope of work proposed by each applicant. AoA reserves the right to offer a funding level that differs from the requested amount. It is likely that not all applications received under this Option will be funded.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

This is a limited grant competition. Awards will only be made to eligible state agencies to that administer the State's program under the Older Americans Act of 1965; or, administer the State's program under title XIX of the Social Security Act; or, are designated by the governor of the state to administer the State's programs under this Announcement.

Applications for each Funding Option are further limited as follows:

- **For Option 1:** Only those states **not** funded under the Lifespan Respite Care Program in FY 2009, FY 2010 or FY 2011 are eligible to apply for funding in this Option area.
- **For Option 2:** Only those states funded in FY 2009 are eligible to apply for funding in this option area. Applications for this Funding Option will only be accepted from the following states: Alabama, Arizona, Connecticut, the District of Columbia, Illinois, Nevada, New Hampshire, North Carolina, Rhode Island, South Carolina, Tennessee, and Texas. **Current FY 2010 and FY 2011 Lifespan Respite Care Program grantees/states are not eligible to apply for funding under this Option.**

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

2. Cost Sharing or Matching

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

Under this 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.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

All Applications will go through an initial screening to verify that the applicant:

- Is an Eligible State Agency, as outlined in Section III (I) of this Program Announcement;
- Has included in the application package an MOU between the Eligible State Agency and the statewide respite coalition/organization; **AND**
- Does not propose conduit or pass-through funding for another agency to lead the project.

Applications that do not meet all of the above responsiveness criteria will be administratively eliminated and will receive no further consideration.

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, **May 14, 2012**.
2. The Project Narrative section of the Application must be **double-spaced**, on 8 1/2" 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 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 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 Numbers (**Option 1:** HHS-2012-AoA-LR-1203 –or– **Option 2:** HHS-2012-AoA-LR-1205) or CFDA number (**93.072**).
- 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:
http://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.gov> that 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

Greg Link

Office of Home and Community-Based Services

Washington, D.C. 20201

Phone Number: 202-357-3545

E-mail: greg.link@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. The deadline for submission of the letter of intent is **April 2, 2012**. Letters of intent should be sent to:

U.S. Department of Health and Human Services
Administration on Aging
Greg Link
Office of Home and Community-Based Services
Email: greg.link@aoa.hhs.gov (preferred)
Fax: 202-357-3549

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 particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect care recipients and/or their caregivers (including specific subgroups within those populations), and possibly the health care and social services systems (e.g., the use of health care and/or nursing home services.)

For purposes of this Program Announcement, applicants are **required** to include the following descriptive information as it pertains to the caregiving needs and current respite care infrastructure in their state:

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

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

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

In addition, applicants **must** describe the following:

- How respite care information dissemination and coordination, respite care services, respite care worker and volunteer recruitment and training programs, or training programs for family caregivers that assist them in making informed decisions about respite care services will be provided using funds provided under this Announcement;

- A plan for administration, collaboration, and coordination of the proposed respite care activities with other related services or programs offered by public or private, nonprofit entities, including area agencies on aging;
- How the population, including family caregivers, care recipients, and relevant public or private agencies, will participate in the planning and implementation of the proposed respite care activities;
- How the proposed respite care activities will make use, to the maximum extent feasible, of other Federal, State, and local funds, programs, contributions, other forms of reimbursements, personnel, and facilities;
- A description of how the quality and safety of any respite care services provided will be monitored, including methods to ensure that respite care workers and volunteers are appropriately screened and possess the necessary skills to care for the needs of the care recipient in the absence of the family caregiver; and
- A description of the measures to be taken to ensure the confidentiality of the individuals served by the program.

Special Target Populations and Organizations. This section should describe how you plan to involve community-based organizations in a meaningful way in the planning and implementation of the proposal project. This section should also describe how the proposed intervention will target disadvantaged populations, including limited-English speaking populations.

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). This section should also describe how the project’s findings might benefit the field at large, (e.g., how the findings could help other organizations throughout the nation to address the same or similar problems.) List measurable outcomes in the attached work plan grid (Attachment E) under “Measurable Outcomes” in addition to any discussion included in the narrative along with a description of how the project might benefit the field at large.

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

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. It is totally appropriate for a project to have only ONE

outcome that it is trying to achieve through the intervention reflected in the project's design.

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 the method(s), techniques and tools that will be used to: 1) determine whether or not the proposed intervention achieved its anticipated outcome(s), and 2) document the "lessons learned" – both positive and negative - from the project that will be useful to people interested in replicating the intervention, if it proves successful.

Dissemination. This section should describe the methods and modalities that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project.

Organizational Capability Statement. Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. It should also include the organization's capability to sustain some or all project activities after Federal financial assistance has ended.

This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Please attach short vitae for key project staff only. Neither vitas 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 years (three for Option 1; 17 months/29 days for Option 2) 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 proposed 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. 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 **May 14, 2012**. Applications must be submitted electronically by 11:59 p.m. Eastern Time, **May 14, 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 duplicated 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

Letters of intent should be emailed (preferred) or faxed to:

Greg Link

Email: greg.link@aoa.hhs.gov

Fax: 202-357-3549

V. APPLICATION REVIEW INFORMATION

1. Criteria

Applications will be scored by assigning a maximum of 100 points across the five standard categories used for all AoA grant programs. **Unless otherwise specifically noted, review criteria are the same for both Funding Options.** Applicants should be sure to address/answer in their applications each of the questions in the sub-categories listed below:

Project Relevance & Current Need - (20 points);

Approach - (30 points);

Budget – (10 points);

Project Impact - (20 points)

Organizational Capacity - (20 points)

PROJECT RELEVANCE & CURRENT NEED

Weight: 20 Points

Purpose and Need (10 Points)

1. Does the proposed project clearly and adequately respond to the priority area, as described in this Program Announcement?
2. Does this applicant clearly describe the need for developing Lifespan Respite Care in the state?
3. Does the applicant demonstrate knowledge of the family caregiver populations to be served?
4. Does the application describe:
 - (a) The population of caregivers in the state;
 - (b) The extent and nature of respite needs of that population;
 - (c) Existing respite care services, including numbers currently served;
 - (d) Existing methods to coordinate respite information and services to the population?
 - (e) Respite services currently available in the state, including unmet needs?
 - (f) The criteria used to identify family caregivers eligible for respite care services?

Additional Review Criteria: Option 2 applicants only

5. In demonstrating knowledge of family caregiver populations, does the applicant apply the knowledge and lessons learned in the FY 2009 grant to further understand and describe the respite needs of family caregivers in the state?
6. Does the applicant describe how the proposed project will build upon the accomplishments made in the FY 2009 Lifespan Respite Program grant?

Problem to be Addressed (10 Points)

1. Does the applicant include a description of the problems this proposal is intended to address through the development of a Lifespan Respite Program?
2. Does the applicant provide appropriate demographic information as it applies to the State where the Lifespan Respite Program will be implemented?
3. Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge?

APPROACH

Weight: 30 Points

Goals/Objectives (5 Points)

1. Has the applicant stated clear and meaningful goals and objectives for the proposed program as well as problems that relate to the proposed program?
2. Are the goals and objectives reasonable and likely to be achieved?
3. Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success?
4. Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate?

Additional Review Criteria: Option 2 applicants only

5. Does the application tie current goals and objectives clearly to the applicant's work in their previous grant?

Work Plan/Management Plan (5 points)

1. Is the project work plan clear and comprehensive?
2. Does the work plan include sensible and feasible timeframes for the accomplishment of tasks presented?
3. Does the work plan include specific objectives and tasks that are linked to measurable outcomes?
4. Does the proposal include a clear and coherent management plan, including plans for administration, collaboration and coordination of respite care activities with other related services or programs offered by public or private nonprofit entities, including AAAs and other respite care organizations?
5. Are the roles and responsibilities of project staff, consultants and partners clearly delineated and linked to specific objectives and tasks?
6. Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carry out the project?

Methods of Addressing the Problem (10 Points)

Review Criteria: Option 1 applications only

1. Has the applicant described a coherent approach to implementing Lifespan Respite Care program that would successfully address the problems described?
2. Has the applicant adequately described the plan for using funds to implement each of the required services?
3. Has the applicant described how proposed activities will improve coordination, access to, and distribution of respite care services for family caregivers of children and adults with special needs?

4. Has the applicant adequately described the criteria to be used to identify family caregivers eligible for respite services?
5. Based on the information provided by the applicant, is it likely the approach will achieve the specified goals?
6. Has the applicant adequately described their proposed approach for data collection and performance measurement?

Review Criteria: Option 2 applications only

1. Has the applicant described a coherent approach for building on the accomplishments made in the FY 2009 program?
2. Does the proposed approach address the problems described?
3. Has the applicant adequately described the plan for using the funds to implement each of the required and optional services?
4. Has the applicant adequately described their proposed approach for service provision?
5. Has the applicant adequately described their proposed approach for data collection and performance measurement?
6. Has the applicant adequately described their proposed approach for workforce development and training?
7. Does the application clearly describe the proposed approaches for program integration?

Coordination and Linkages (10 Points)

1. Does the application detail the means by which the State respite coalition/organization and the ADRC will work collaboratively with the grantee in designing, implementing and managing the program?
2. Does the application describe how state and/or local community-based organizations will be involved in a meaningful way in the planning and implementation of the Lifespan Respite Program?
3. Does the applicant demonstrate inclusion of the full range of age and disability populations in the planning and implementation of the Lifespan Respite Program?
4. Does the proposed project include all eligible population groups, including disadvantaged and limited-English speaking populations in its targeting?
5. Does the application describe the plan for administering, collaborating and coordinating respite care activities in the state with other related programs and services?
6. Does the Memorandum of Agreement included in the application provide for adequate flexibility to modify parameters agreed to by the Eligible State Agency and the Respite Coalition/organization?

BUDGET(Adequacy, Scope, Applicability)

Weight: 10 Points

1. Is the budget justified with respect to the adequacy and reasonableness of resources requested?
2. Is the scope of project activities consistent with the resources requested?
3. 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?

4. Are the budget amounts proposed for personnel proportionate to other activities, given the scope of the proposal?
5. Are budget line items clearly delineated and consistent with work plan objectives?

PROJECT IMPACT

Weight: 20 Points

Project Outcomes (5 Points)

1. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project?
2. Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in Attachment E of the Program Announcement?
3. Are the anticipated outcomes of the proposed project likely to be achieved and will they significantly benefit the populations affected by the intervention, and the field as a whole?

Project Evaluation (5 Points)

1. Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)?
2. Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes?
3. Is the evaluation also designed to capture “lessons learned” from the overall effort that might be of use to others in the field, especially those who might be interested in replicating the project?
4. Will the evaluation permit a determination of whether objectives have been achieved?
5. Does the applicant describe how the quality and safety of respite care services will be monitored, including methods to ensure appropriate screening of workers?
6. Is the applicant’s commitment to partnering with AoA, the Resource Center, and other grantees in the development of performance measures and data collection framework and strategies adequately described?

Sustainability (7 Points)

1. Is there a plan to make use, to the maximum extent possible, other Federal, state and local funds, programs, contributions, other forms of reimbursement, personnel, and facilities to expand and enhance availability of respite services?
2. Is there a clear and realistic plan to try to secure resources to continue program activities after Federal financial assistance has ended?

Dissemination (3 Points)

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

2. Does the dissemination plan include multiple means for delivering information, including electronic, print and web based methods?

ORGANIZATIONAL CAPACITY

Weight: 20 Points

Project Staffing and Qualifications (10 Points)

1. Does the applicant organization clearly identify their capacity for carrying out the proposed project and evaluation?
2. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles?
3. Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions?

Organization and Management (10 Points)

1. Does the applicant demonstrate the commitment to lead the project?
2. Does the application adequately describe the agency's ability to work with other state and community based agencies?
3. Does the applicant's proposed approach for working with public and private non-profit state respite coalitions/organizations seem feasible?
4. Does the applicant demonstrate an understanding of respite care and family caregiver issues across all age groups, disabilities, and chronic conditions?
5. Does the applicant demonstrate capacity and commitment to ensuring meaningful involvement of family members, family caregivers, and care recipients?
6. Does the applicant demonstrate the commitment to implement the program so as to serve all age groups, disability populations without preference for select demographic or disability groups?
7. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles?
8. Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions?
9. Are assurances in place that the grantee will have a system for maintaining confidentiality of care recipient and family caregiver records?

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.

3. Anticipated Announcement Award Date

Anticipated notification date for successful applicants under **both Options** is July 25, 2012 for a project start date of August 1, 2012.

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. Acceptance of this award is signified by the drawdown of funds from the Payment Management System. 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 semi-annually from the start date of the award and 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: **Greg Link**

Telephone: (202) 357-3545 e-mail: greg.link@aoa.hhs.gov

Grants Management Specialist:

U.S. Department of Health and Human Services

Administration on Aging

Washington, DC 20201

Attn: **Rebecca Mann**

e-mail: grants.office@aoa.hhs.gov

VIII. OTHER INFORMATION

1. Application Elements

- a. **SF 424, required** – Application for Federal Assistance (See Attachment A for Instructions).
- b. **SF 424A, required** – Budget Information. (See Attachment A for Instructions; See Attachment B for an example of a completed SF 424A).
- c. **Separate Budget Narrative/Justification, required** (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.
- d. **SF 424B – Assurance, required.** 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, required**
- 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, required (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. In addition, we encourage the organization to include the correct suffix used to

identify your organization in order to properly align access to the Payment Management System.

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 (This is not a narrative description).

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 third party 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:

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

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 break down 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 (required)

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 (required)

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 (as applicable)

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					

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					

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

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Travel	\$4,707	\$2,940	\$0	\$7,647	<p>Federal</p> <p>Local travel: 6 TA site visits for 1 person</p> <p>Mileage: 6RT @ .585 x 700 miles \$2,457</p> <p>Lodging: 15 days @ \$110/day \$1,650</p> <p>Per Diem: 15 days @ \$40/day <u>\$600</u></p> <p>Total \$4,707</p> <p>Non-Fed Cash</p> <p>Travel to National Conference in (Destination) for 3 people</p> <p>Airfare 1 RT x 3 staff @ \$500 \$1,500</p> <p>Lodging: 3 days x 3 staff @ \$120/day \$1,080</p> <p>Per Diem: 3 days x 3 staff @ \$40/day <u>\$360</u></p> <p>Total \$2,940</p>
Equipment	\$10,000	\$0	\$0	\$10,000	<p><i>No Equipment requested OR:</i></p> <p>Call Center Equipment</p> <p>Installation = \$5,000</p> <p>Phones = <u>\$5,000</u></p> <p>Total \$10,000</p>
Supplies	\$3,700	\$5,760	\$0	\$9,460	<p>Federal</p> <p>2 desks @ \$1,500 \$3,000</p> <p>2 chairs @ \$300 \$600</p> <p>2 cabinets @ \$200 \$400</p> <p>Non-Fed Cash</p> <p>2 Laptop computers \$3,000</p> <p>Printer cartridges @ \$50/month \$300</p> <p>Consumable supplies (pens, paper, clips etc...)</p> <p>@ \$180/month <u>\$2,160</u></p> <p>Total \$9,460</p>

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 = <u>\$11,669</u> Total \$30,171 <i>If contract details are unknown due to contract yet to be made provide same information listed above and:</i> 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) = <u>\$200</u> 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	\$40,886	\$5,880	\$187,060	

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					

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.														

Attachment E: Project Work Plan, Page 2 – 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*
3.														
4.														

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

Attachment F: Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, 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.