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Instructions for Preparing Competitive Grant Applications under the Performance Outcomes Measures Project (POMP)

U.S. Administration on Aging
2004

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OVERVIEW

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)
Administration on Aging (AoA)
Office of Evaluation

Program Name: Performance Outcomes Measures Project (POMP)

Announcement Type: New Competitive Grants (Cooperative Agreement)

Funding Opportunity Number: AoA-04-04

CFDA Number: 93.048

Dates: The *deadline date* for the submission of applications under this program announcement is July 26, 2004.

Summary. The Administration on Aging (AoA) announced in the *Federal Register* on June 24, 2004 that it will hold a competition for two different types of Performance Outcome Measures Projects (POMP); one type will be funded with grant awards and the other with cooperative agreement awards. Priority Area 1: STANDARD POMP - Grants will be awarded to States for the purpose of developing and/or refining consumer assessment performance measurement tools and developing service provider surveys to inform performance outcome measurement. Priority Area 2: ADVANCED POMP - Cooperative agreements will be awarded to States for the purpose of designing a protocol for the development of more robust performance outcome measures quantifying program impact in a manner that can be associated with program cost. The latter awards will be cooperative agreements because the Administration on Aging will be substantially involved in the development and execution of the activities of the projects. The cooperative agreement will provide for technical assistance and support to funded states. Grant projects will receive technical support if requested. The full text of the announcement includes a description of both priority areas and all the instructions necessary to prepare and submit a grant proposal to compete for these project awards.

Statutory Authority. The statutory authority for grants under this program announcement is contained in Title IV of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501).

Project Funding, Duration and Match. 1) **STANDARD POMP:** The AoA plans to fund a maximum of 10 POMP survey projects at a Federal share of approximately \$35,000-\$50,000. The amount of the award will be based on the number of Area Agencies on Aging (AAAs) and service providers within a state that will participate in testing the performance measurement tools. Each project will be funded for a project period of one year, contingent on the availability of federal funds. Grantees are required to provide at least 25% of the total program costs from non-federal cash or in-kind resources – see instructions on AoA match requirement in Section III.B. 2) **ADVANCED POMP**: The AoA plans to fund 8-12 impact measurement design projects for a period of three years, with the first year focusing on defining impact measures in a quantifiable way; associating the impact measures with program cost; and developing a methodology for obtaining necessary performance and supporting information. The amount of the first year awards will be $15,000 (Federal share). Subsequent award amounts will be increased, contingent on the availability of federal funds, as the project evolves into the data collection and analysis phase. Grantees are required to provide at least 25% of the total program costs from non-federal cash or in-kind resources – see instructions on AoA match requirement in Section III.B.

Eligible Applicants For the competition under this announcement, eligibility is limited to State Units on Aging (SUAs). Under this competition, SUAs must collaborate with one or more AAA. For SUAs that function as a single planning and service area, applications must reflect substantial collaboration with one or more provider agency. Extensive collaboration with AAAs and provider agencies is encouraged.

Priority Target Populations and Organizations Although only SUAs are eligible to apply for this competition, testing of performance measurement tools should assure that disadvantaged populations are included and their characteristics are measured.

For Further Information. Contact: Cynthia Agens Bauer, U.S. Department of Health and Human Services, Administration on Aging, Washington, DC 20201, telephone: (202) 357-0145, e-mail: Cynthia.Bauer@aoa.hhs.gov.

FULL TEXT OF ANNOUNCEMENT

I. FUNDING OPPORTUNITY DESCRIPTION

A. Background

1. Summary

The Administration on Aging (AoA) announced in the *Federal Register* on June 24, 2004 that it will hold a competition for two different types of Performance Outcome Measures Projects (POMP); one type will be funded with grant awards and the other with cooperative agreement awards. Priority Area 1: STANDARD POMP - Grants will be awarded to States for the purpose of developing and/or refining consumer assessment performance measurement tools and developing service provider surveys to inform performance outcome measurement. Priority Area 2: ADVANCED POMP - Cooperative agreements will be awarded to States for the purpose of designing a protocol for the development of more robust performance outcome measures quantifying program impact in a manner that can be associated with program cost. The latter awards will be cooperative agreements because the Administration on Aging will be substantially involved in the development and execution of the activities of the projects. The cooperative agreements will provide for technical assistance and support to funded states. Grant projects will receive technical support if requested. The full text of the announcement includes a description of both priority areas and all the instructions necessary to prepare and submit a grant proposal to compete for these project awards.

2. Statutory Authority

The statutory authority for grants under this program announcement is contained in Title IV, of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501).

3. Priority Target Populations and Organizations

Although only SUAs are eligible to apply for this competition, testing of performance measurement tools should assure that disadvantaged populations are included and their characteristics are measured.

B. Priority Area Description

Performance Outcome Measurement

The Government Performance and Results Act (GPRA) requires Federal agencies to use performance measurement, particularly outcome measurement, to improve the performance of Federal programs. Further, the Office of Management and Budget has introduced the Program Assessment Rating Tool (PART), which they use to evaluate the performance of Federal programs. The PART places additional emphasis on assessing program performance through outcome measurement.

Building on the Results of Earlier POMP Demonstrations

Over the past five years, AoA has sponsored the Performance Outcome Measures Project for Older Americans Act (OAA), Title III programs. This project with SUAs and AAAs has produced a core set of performance measurement instruments. The instruments have been developed to identify elements of service quality for critical OAA services through a consumer assessment methodology. The instruments also measure special needs characteristics of the people who receive services such as physical and social functioning. Other measurement tools address the adequacy and benefit of services that support family caregivers. Performance measurement tools developed under POMP can be located at www.grpa.net.

Consumer assessment surveys have enabled AoA and our State and AAA partners to demonstrate that services provided by the National Aging Services Network:

- Are highly rated by recipients
- Are effectively targeted to vulnerable individuals and those who need services
- Provide assistance to individuals and caregivers that is instrumental in allowing older persons to maintain their independence and avoid premature nursing home placement.

These results also enabled AoA to attain a PART rating of 81 percent during the FY 2005 budget formulation cycle. While consumer assessment will continue to be an important component of program performance measurement, it is time for POMP to begin the process of evolving into a more sophisticated performance measurement system.

Project Objectives and Activities

The purpose of this competition is to solicit applications for two types of POMP demonstrations. The first type, which will be referred to as STANDARD POMP, will continue to work with performance measurement surveys to fill in existing gaps in the current arsenal of POMP developed performance measurement tools. The second type, which will be referred to as ADVANCED POMP, will begin to design a methodology for measuring quantifiable program impacts as they relate to program costs. **SUAs are eligible to receive awards under both priority areas. A separate application must be submitted for each priority area.**

Priority Area 1. *STANDARD POMP*: The purpose of this competition is to continue the development of performance measurement instruments as follows:

- Develop a performance measurement tool for Title III service recipients.
- Develop a service provider survey to inform the performance measurement picture.
- Develop recommendations for final versions of consumer assessment surveys to be posted on the POMP website.

Recipient Surveys: Grantees may use existing POMP surveys to develop one or more recipient specific surveys. These surveys should focus on the consumer's overall assessment of the quality of service, the mix of services received, identification of which services are most useful and select information about specific services received. One option may be to develop a composite consumer assessment instrument. (It may be appropriate to develop two tools; one for recipients receiving services in the home and one for recipients receiving services in a community setting. The Case Management and Senior Center tools developed this year may serve as a starting point.)

Provider Surveys: Grantees will develop provider surveys to obtain information that will inform current and future performance measurement efforts, including for example, information on provider characteristics, characteristics of population served, provider activity associated with their own performance measurement, provider policies on private pay vs. subsidized service, waiting lists, and provider ability to provide information on service use and cost per recipient. (It may be appropriate to develop more than one instrument. The agency descriptor surveys developed for the Case Management and Senior Center surveys may serve as a starting point.)

Recommendations for content of POMP website: Grantees will review their prior POMP data collection activities, interviewers' experience, data entry experience, uses of the information, evaluation results and any other pertinent information and provide recommendations to AoA for website content of surveys and technical support tools. The validity and utility of existing performance measurement instruments should be critiqued.

Applicants must agree to participate in all three of the topic areas above. If multiple tools are developed for the first two topics, applicants are only required to test performance measures for one tool per topic. Applicants may indicate that they will develop and test performance measurement instruments collaboratively with other grantees or independently.

Priority Area 2. *ADVANCED POMP:*

The purpose of this competition is to advance performance measurement for OAA programs by exploring ways to develop performance outcome measurement methodology (methodologies) that moves beyond consumer assessment of services to quantifying program impacts in a manner that can be associated with program costs. Awards will be made for a period of three years. The first year of the project will be a planning year. During the first year, the project, which will be a cooperative effort between the grantees, AoA and AoA's technical consultant, will focus on defining potential performance outcome/impact measures and their direct association with program costs. Early efforts will include the identification and examination of research related to OAA program impacts. The project will define the approach (approaches) to be explored. Possible approaches to be considered are measuring cost-effectiveness of different service mixes; examining program efficiency by comparing costs and outcomes of OAA programs/services with similar programs/services; measuring cost avoidance by predicting likelihood of nursing home placement (possibly by examining risk factors associated with nursing home placement). The project will also examine potential data sources and methodologies for obtaining necessary data, including information on potential control groups. During the first year, the project will also define the method of data analysis to be employed in the development of the performance measures.

The second and third years of the project will involve field-testing any necessary data collection and refining the methodology.

Support Contract

AoA will contract with a national research corporation to support the performance outcomes measures project during FY 2005. For priority area 1, this corporation will provide research expertise in the development of the performance outcomes measures, technical assistance to project sites in sampling and data collection methodology, and tools for uniform data storage and transfer. Successful applicants under priority area 1 are not required to use this resource if their application demonstrates adequate performance measurement research expertise. Documentation of the sampling and data collection methodologies, as well as the tools developed under prior performance outcomes measures projects are available at the web site www.gpra.net.

For priority area 2, the national research corporation will provide technical advice to AoA and the grantees. They will assist in identifying pertinent research for review, provide a forum for technical discussions, identify potential strategies for quantifying program impacts, and provide extensive technical review of methodologies developed by the grantees.

II. AWARD INFORMATION

A. Award Type:

Priority Area 1. STANDARD POMP: **Grant**

These awards will be grants. Grantees may choose to work cooperatively with other grantees or they may work independently. Upon request, technical support in questionnaire development, sampling, data entry and summary, and conference call logistics will be made available to grantees working cooperatively.

Priority Area 2. ADVANCED POMP: **Cooperative Agreement**

These awards will be cooperative agreements because the Administration on Aging will be substantially involved in the development and execution of the activities of the projects. The cooperative agreement will provide for technical assistance and support to projects.

The applicants and the Administration on Aging will work cooperatively to clarify the issues to be addressed by the project.

Activities

Awardee activities for this priority area are as follows:

a. Working collaboratively with AoA, form a conference call workgroup to identify potential methodologies to measure program impacts in relationship to cost.
b. Selecting two grantees to co-lead the workgroup with AoA.
c. Forming subgroups to investigate existing research, identify promising methodology, investigate potential data sources, etc. Grantees should participate in at least two subgroups.
d. Drafting a plan that recommends two to three possible performance measurement approaches for future year testing.

AoA activities for this priority area are as follows:

a. Providing logistics for all conference calls (through technical assistance contract).
b. Co-leading the main workgroup with grantees.
c. Reviewing and commenting on products developed by subgroups.
d. Providing input for plan.
e. Providing contractor technical assistance identifying existing research and critiquing potential methodology.

B. Project Funding & Duration

Priority Area 1: STANDARD POMP

Anticipated Total Priority Area Funding: $350,000

Anticipated Number of Awards: 8

Ceiling on Amount of Individual Awards: $50,000

Floor of Individual Amounts: none

Average Projected Award Amount: $35,000 to $50,000. The award amount will be based on the number of AAAs and/or service providers within a state that agree to participate in the project and test the performance measurement instruments.

Project Periods for Awards: 12 month projects with 12 month budget periods

Priority Area 2: ADVANCED POMP

Anticipated Total Priority Area Funding: $150,000

Anticipated Number of Awards: 10

Ceiling on Amount of Individual Awards: $15,000

Floor of Individual Amounts: none

Average Projected Award Amount: $15,000

Project Periods for Awards: 36 month projects with 12 month budget periods

Award amounts for the second and third year of the project will be increased, contingent on the availability of Federal funds.

III. Eligibility Information

A. Eligible Applicants.

For the competition under this announcement, eligibility is limited to State Units on Aging (SUAs). Under this competition, SUAs must collaborate with one or more AAA. For SUAs that function as a single planning and service area, applications must reflect substantial collaboration with one or more provider agency. Extensive collaboration with AAAs and provider agencies is encouraged.

B. Cost Sharing or Matching

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. While the matching requirement will not be used as a responsiveness criterion for purposes of screenout, applicants must show their anticipated match in their applications.

C. Other Required

1. DUNS Number

The Office of Management and Budget requires applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003. It is entered on the SF 424. It is a unique, **nine-digit identification number**, which provides unique identifiers of single business entities. The D-U-N-S 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: http://www.dnb.com/US/duns_update/

2. Application Screening Criterion

All applications will be screened to assure a level playing field for all applicants. Applications that fail to meet the 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:

a. **Postmark Requirements**

Applications must be postmarked by midnight, July 26, 2004 or hand-delivered by 5:30 p.m. Eastern Time, on July 26, 2004 or submitted electronically by midnight July 26, 2004.

b. Organizational Eligibility

For the competition under this announcement, eligibility is limited to State Units on Aging (SUAs). Under this competition, SUAs must collaborate with one or more AAA. For SUAs that function as a single planning and service area, applications must reflect substantial collaboration with one or more provider agency. Extensive collaboration with AAAs and provider agencies is encouraged.

c. Responsiveness to Priority Area Description

Applications will be screened on whether the application is responsive to the priority area description.

d. Project Narrative

The Project Narrative must be: double-spaced, on single-sided 8 ½” x 11” plain white paper, have 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, excluding the work plan grid, letters of cooperation and vitae of key personnel

IV. APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application

Application kits are available by writing to:

The U.S. Department of Health and Human Services
Administration on Aging
Office of Consumer Choice and Protection
Washington, D.C. 20201

Or by calling: 202/357-0145.

Application materials can also be obtained from http://www.aoa.gov or http://www.grants.gov/.

You may submit your application to us either in electronic or paper format. To submit an application electronically, please use the www.Grants.gov apply site. If you use www.Grants.gov you will be able to download a copy of the application package, complete it off-line, and then upload and submit the application via the Grants.gov site. You may not e-mail an electronic copy of a grant application to us.

Please note the following if you plan to submit your application electronically via Grants.gov.

- Electronic submission is voluntary
- When you enter the www.Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours

of operation. We strongly recommend that you do not wait until application date to begin the application process through Grants.gov.

- To use www.Grants.gov, you, as the applicant, must have a DUNS Number and register in the Central Contractor Registry (CCR). You should allow a minimum of five days to complete the CCR registration.
- You will not receive additional point value because you submit a grant application in paper format.
- You may submit all documents electronically, including all information typically included on the SF424 and all necessary assurances and certifications.
- 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 Grants.gov that contains a Grants.gov tracking number. The Administration on Aging will retrieve your application form from Grants.gov.
- We may request that you provide original signatures on forms at a later date.
- You may access the electronic application for this program on www.Grants.gov. You must search for the downloadable application page by the CDFA number.

B. Content and Form of Application Submission

STANDARD COMPONENTS

1. THE PROJECT DESCRIPTION OVERVIEW

PURPOSE

The project description provides a major means by which an application is evaluated and ranked to compete with other applications for available assistance. The project description should be concise and complete and should address the activity for which Federal funds are being requested. Supporting documents should be included where they can present information clearly and succinctly. In preparing your project description, all information requested through each specific evaluation criteria should be provided. Awarding offices use this and other information in making their funding recommendations. It is important, therefore, that this information be included in the application.

GENERAL INSTRUCTIONS

AOA is particularly interested in specific factual information and statements of measurable goals in quantitative terms. Project descriptions are evaluated on the basis of substance, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant funded activity should be placed in an appendix.

Pages should be numbered and a table of contents should be included for easy reference.

a. INSTRUCTIONS FOR COMPLETING THE PROJECT NARRATIVE

i. PURPOSE AND NEED FOR ASSISTANCE

PROJECT SUMMARY/ABSTRACT

Provide a summary/abstract of the project description (180 words or less). In the summary/abstract, describe the proposed project, including: the goal, the list of objectives and the products to be developed. A model for completing the summary/abstract is included in the appendix of this document.

PROBLEM STATEMENT

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 describing and documenting the key problem(s)/condition(s) relevant to its purposes and justification in terms of the most recent, relevant, and available information and knowledge regarding current program performance measurement activity in your state. (Suggested Length and Format: two to four paragraphs).

ii. APPROACH, WORK PLAN AND ACTIVITIES

OVERALL PROJECT GOALS AND OBJECTIVES

This section should consist of a description of the project's goal(s) and major objectives. NOTE: Unless the project involves multiple complex interventions, we recommend you have only one overall goal. For example, a goal for STANDARD POMP applicants might be to expand the use of performance outcome measurement; a goal for ADVANCED POMP might be to develop a methodology that demonstrates the cost-effectiveness of Title III programs. (Suggested Length and Format: Grid format, linked with Work Plan. A *sample* work plan grid is included in the attachments. Alternatively, use a bulleted format or describe in one paragraph.)

SPECIFIC PROPOSED INTERVENTION (Methodology)

Provide a clear and concise description of the intervention you are proposing to use to address the problem previously described. Describe the rationale for using the particular intervention, including factors such as: the existing research and evidence related to the subject matter; "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 will 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.

Please be sure to discuss prior performance measurement experience and the uses of performance measurement information made at the state and AAA level. Also, please indicate whether you will work independently or collaborate with other grantees.

Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, funding sources, and/or consumer groups. Provide a short description of the nature of their effort or contribution. (Suggested Length and Format: four to six paragraphs.)

If any data is to be collected, maintained, and/or disseminated, clearance may be required from the U.S. Office of Management and Budget (OMB). This clearance pertains to any "collection of information that is conducted or sponsored by AOA."

OUTCOMES

Provide a narrative clearly identifying the measurable outcome(s) that will result from the project. (NOTE: AoA will not fund any project that does not include measurable outcomes – see the section below for a definition of a measurable outcome.) 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.)

NOTE: Keep the focus in 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.

Examples of outcomes for STANDARD POMP might include any of the performance outcome measures under development. Examples of outcomes for ADVANCED POMP might include quantifying cost avoidance attributed to OAA funded services.

(Suggested Length and Format: Grid format, linked with work plan. A *sample* work plan is included in the attachments. Alternatively, use a bulleted format or describe in one paragraph. For the description of how the project might benefit the field at large: one to three paragraphs.)

NOTE:
Your application will be scored on the clarity and nature of your proposed outcome(s), NOT the number of outcomes you cite. 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.

SPECIAL TARGET POPULATIONS AND ORGANIZATIONS

This section should describe how the proposed methodology will address disadvantaged and vulnerable populations. It should also describe how you plan to involve AAAs and community-based organizations in a meaningful way in the planning and implementation of the proposed project.

WORK PLAN

The Project Work Plan should reflect, and be consistent with, the Project Narrative and Budget. It should reflect and be consistent with the overall project goals, objectives, and outcomes. The work plan should describe key objectives, and the major tasks or action steps that will be pursued to achieve the goal and outcome(s). For each major task or action step, the work plan should identify the timeframes involved (including start and end dates), and the lead person responsible for completing the task. A *sample* grid work plan format is included in the Attachments. (Suggested Length and Format: Grid format. Alternatively, not more than two pages preferably presented in bullet format.)

iii. PROJECT EVALUATION AND DISSEMINATION

EVALUATION PLAN

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 either replicating the intervention, or using the results to inform policy or program decision-making on the federal, state, and / or local level. (Suggested Length and Format: Five to eight paragraphs.)

DISSEMINATION PLAN

Describe the method that will be used to disseminate the project's results and findings in a timely manner, and in easy to understand 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. For STANDARD POMP, the dissemination plan may include establishing links to the POMP website. For ADVANCED POMP, the dissemination plan may generally address future activity to occur after the successful completion of the three-year project. (Suggested Length: Three to five paragraphs.)

iv. LEVEL OF EFFORT

PROJECT MANAGEMENT

Include a clear delineation of the roles and responsibilities of project staff, consultants and other partner organizations, and how they will contribute to the project's objectives and outcome(s). Specify who will have day-to-day responsibility for key tasks such as:

leadership of the project; monitoring the project's ongoing progress; preparation of reports; and communications with other partners and AoA. Also describe the approach that will be used to monitor and track the progress of the project's tasks and objectives. (Suggested Length and Format: Three paragraphs.)

ORGANIZATIONAL CAPABILITY STATEMENT AND VITAE FOR KEY PROJECT PERSONNEL

Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe the applicant agency's (or the particular division of a larger agency which will have responsibility for this project) organizational structure, mission, current responsibilities, and capabilities. This description should cover information on 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. Include short vitae for key project staff only. Also include information about any contractual organization(s) that will have a significant role(s) in implementing the project and achieving project goals.

LETTERS OF COMMITMENT FROM KEY PARTICIPATING ORGANZIATIONS 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.

2. REQUIRED PROJECT NARRATIVE FORMAT AND LENGTH

The Project Narrative must be:

- double-spaced
- on single-sided 8 ½" x 11" plain white paper
- have 1" margins on both sides
- 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 components counted as part of the 20 page limit include:

- Project Summary / Abstract
- Problem Statement
- Overall Project Goals and Objectives
- Specific Proposed Intervention

- Outcomes
- Special Target Populations and Organizations
- Evaluation Plan
- Dissemination Plan
- Project Management
- Organizational Capability.

The Project Work Plan Grid, Letters of Cooperation and Vitae of Key Project Personnel **are not counted** as part of the 20-page limit.

3. INSTRUCTIONS FOR COMPLETING THE BUDGET AND BUDGET JUSTIFICATION

Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form (SF424A). Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424.

Separate Budget Justification Requirement

You must submit a separate budget justification as part of your application. **A blank SAMPLE format (and one with examples) has been included in the attachments for your use in developing and presenting your Budget Justification.** In your budget justification, you should include a breakdown of the budget which shows the costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. The justification should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Third party in-kind contributions and program income designated as non-federal match contributions should be clearly identified and justified separately from the justification for the budget line items. The full budget justification should be included in the application immediately following the SF 424 forms.

Provide a narrative budget justification that describes how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

GENERAL

The following guidelines are for preparing the budget and budget justification. Both Federal and non-Federal resources shall be detailed and justified in the budget and narrative justification. For purposes of preparing the budget and budget justification, "Federal resources" refers only to the AOA grant for which you are applying. Non-Federal resources are all other Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s), and last column, total budget. The budget justification should be a narrative.

PERSONNEL

Description: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants; consultant costs should be included under 6h-Other.

Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the budget justification.

FRINGE BENEFITS

Description: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc.

TRAVEL

Description: Enter total costs of out-of-town travel (travel requiring a per diem) for staff of the project. Do not enter costs for consultant's travel – this should be included in line 6h.

Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates). Costs for travel to a 2-3 day POMP information sharing conference in Washington D.C. (March or April 2005) for 2-3 people should be included.

EQUIPMENT

Description: "Equipment" is a 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. Enter the total costs of all equipment to be acquired by the project. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e.

Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not otherwise be available to the applicant or its sub-grantees. The justification must also contain plans for the use or disposal of the equipment after the project ends.

SUPPLIES

Description: Costs of all tangible, expendable personal property (supplies) other than those included on line 6d.

Justification: Provide general descriptions of types of items included.

CONTRACTUAL

Description**:** Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line.

Justification**:** Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.**

CONSTRUCTION

Description: Leave blank since construction is not an allowable cost under this AoA program.

OTHER

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

Justification: Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the work plan. Describe the types of activities for staff development costs.

TOTAL DIRECT CHARGES

Show the totals of Lines 6a through 6h.

INDIRECT CHARGES

Description: 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.

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

TOTAL
Enter the total amounts of Lines 6i and 6j.

PROGRAM INCOME

Description: 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.

Justification: Describe the nature, source and anticipated use of program income in the budget or refer to the pages in the application that contains this information.

NONFEDERAL RESOURCES

Description: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Do not include program income unless it is used to meet the match requirement. Keep in mind that if program income is used to meet the match requirement, and the projected level of income is not met, thereby decreasing the level of the match, the amount of federal funds available to the grantee may be reduced if the match falls below required levels.

Justification: The firm commitment of these resources must be documented and submitted with the application in order to be given credit in the review process. A detailed budget must be prepared for each funding source.

4. INSTRUCTIONS FOR COMPLETING STANDARD FORMS 424, 424A, 424B, and AoA Certification.

This section provides step-by-step instructions for completing these federal forms required by as part of your grant application, including special instructions for completing Standard Budget Forms 424. The budget section prior to this provides step-by-step instructions for completing Standard Form 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 given in lieu of the standard instructions attached to SF 424 and 424A to complete these forms. Please note that single-sided copies of all required forms must be used in submitting your application.

a. Standard Form 424 – Application for Federal Assistance

Item 1. Mark "Non-Construction" under "Application".

Item 2. Fill in the date you submit the application. The three "Identifier" boxes to the right of Items 2 through 4 should be left blank.

Item 3. Not applicable – Mark "NA".

Item 4. Leave blank.

Item 5. Enter the legal name of the applicant organization; the name of the primary organizational unit responsible for managing the project; the organization's DUNS number (received from Dun and Bradstreet); the applicant's address; and the name and telephone number of the person to contact on matters related to this application.

Item 6. Enter the Employer Identification Number (EIN) of the applicant organization that has been assigned to the organization by the Internal Revenue Service. Please include the suffix to the EIN if known.

Item 7. Enter the appropriate letter in the box provided.

Item 8. Check the “New” box.

Item 9. Enter - Administration on Aging

Item 10. Enter – 93.048

Item 11. Enter the title of the project and the number of the priority area.

Item 12. List only one entity - it should be the largest political entity affected.

Item 13. Enter the start and end date for the upcoming budget period for the project. (NOTE: The start date usually coincides with the date AoA issues the grant award to the applicant organization, with the end date usually being 12 months later.)

Item 14. Enter the Congressional District(s) affected by the project.

Item 14a. Enter the Congressional District where the applicant organization is located.

Item 14b. Leave Blank

Item 15.

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 15 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 15 should cover the upcoming budget period. For sub-item 15a, enter the federal funds being requested. Sub-items 15b-15e are considered matching funds. The dollar amounts entered in sub-items 15b-15f must total at least 1/3rd of the amount of federal funds being requested (the amount in 15a). For a full explanation of AoA’s match requirements, see the information in the box below. For sub-item 15f, enter only the amount, if any, that is going to be used as part of the required match.

There are three types of match: 1.) non-federal cash; 2.) non-federal non-cash (i.e., in-kind); and 3) program income. 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 consider cash matching funds. Generally, most contributions from third parties will be non-cash (i.e., in-kind) matching funds. Examples of non-cash (in-kind) match include:

volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income that is to be used as part of the required match should be shown on Line 15.

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 15g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your minimum required match:

$$\frac{\textbf{Federal Funds Requested (i.e., amount on line 15a)}}{\textbf{3}} = \textbf{Minimum Match Requirement}$$

For example, if you request \$100,000 in federal funds, then your minimum match requirement is \$100,000/3 or \$33,333.

A common error applicants make is to match 25% of the federal share, rather than 25% of the project's total cost, so be sure to use one of the formulas above to calculate your match requirement.

If the required non-federal share is not met by a funded project, AoA will disallow any unmatched federal dollars.

NOTE: **Indirect charges** generally 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.

Item 16. Check b. No - Program is not covered by E.O. 12372

Item 17. This item applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.

Item 18. To be signed by the authorized representative of the applicant organization. A document attesting to that sign-off authority must be on file in the grantee's office.

b. Standard Form 424B - Assurances

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

c. AoA Cerfification

This form contains certifications that are required of the applicant organization regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (c) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

5. OTHER APPLICATION COMPONENTS

a. Survey on Ensuring Equal Opportunity for Applicants

The Office of Management and Budget (OMB) approved a form to collect information on the number of faith and community-based groups applying for grants. Non-profit organizations, excluding private universities, are now asked to submit a completed survey. Attached you will find the OMB approved HHS "Survey on Ensuring Equal Opportunity for Applicants" form (see Attachments). Please be sure to return it with your grant application.

b. Proof of Non-Profit Status

Not applicable. Only SUAs can apply.

c. Indirect Cost Agreement

State 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.

C. Submission Dates and Times

1. Application Due Date.

Applications must be postmarked by midnight, July 26, 2004, hand-delivered by 5:30 p.m. Eastern Time, or submitted electronically by midnight, July 26, 2004.

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

Submissions using the regular U.S. Postal Service must be addressed to:
Department of Health and Human Services
Administration on Aging

Grants Management Division
Washington, DC 20201
Attention: Margaret Tolson

Submissions by courier, express mail, priority mail, delivered in person, etc. should be addressed to:

Department of Health and Human Services
Administration on Aging
Grants Management Division
One Massachusetts Avenue, NW, Room 4604
Washington, DC 20001
Attention: Margaret Tolson

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

Applicants who fill in the return address information on the confirmation of application receipt postcard and submit it with their application package, will receive confirmation of their application receipt by AoA.

Applicants applying through Grants.gov will receive automatically a tracking number and date of receipt verification electronically once the application has been successfully received and validated in Grants.gov.

Applicants must ensure that a legibly dated U.S. Postal Service postmark or a legibly dated, machine produced postmark of a commercial mail service is affixed the envelope/package containing the application(s). To be acceptable as proof of a timely mailing, a postmark from a commercial mail service must include the logo/emblem of the commercial mail service company and must reflect the date the package was received by the commercial mail service company form the applicant. Private Metered postmarks shall not be acceptable as proof of timely mailing. Applicants are cautioned that express/overnight mail services do not always deliver as agreed.

D. Intergovernmental Review

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

E. Funding Restrictions

The following activities are not fundable activities:

- Construction and / or major rehabilitation of buildings
- Basic research (e.g. scientific or medical experiments)
- Continuation and/or expansion of existing projects, including supportive and nutrition

- Medical care, institutional care, or income maintenance
- Projects which do not involve new, innovative approaches and whose outcomes do not have the potential for nationwide dissemination and replication.

F. Other Submission Requirements

If you elect to mail or hand deliver your application, you must submit **one original application and two copies,** plus a completed application checklist to AoA. The checklist is included in the attachments.

V. APPLICATION REVIEW INFORMATION

A. Criteria

Applications that pass the screening will be evaluated by an independent review panel of at least three individuals. These reviewers, experts in the field, are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies. Based on the specific programmatic considerations set forth above in the priority area, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below. Applicants experience with the use of performance measurement will be carefully considered by reviewers in scoring the applications.

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

Scoring Criteria for Priority Area 1- STANDARD POMP

1. Purpose and Need for Assistance — Weight: 20 points

   a. Does the proposed project clearly and adequately respond to **Priority Area 1**, as described in Part 1 of this Program Announcement, i.e., developing recipient-focused performance measurement tools, developing provider surveys that will inform perform measurement and developing decisions on the content of the POMP website (including a critique of existing POMP tools) (15 points).

   b. Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to its purpose? Does the proposed project demonstrate awareness of the most recent information and knowledge regarding performance outcome measurement and Federal requirements pertaining to performance measurement? (5 points)

2. Approach, Work Plan and Activities — Weight: 35 points

a. Is the methodology clearly defined? Does it reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcome(s)? Does it specify whether the applicant will work collaboratively or independently? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success? Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate? (15 points)

b. Is the project work plan clear and comprehensive? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the work plan include specific objectives and tasks that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carryout the project? (10 points)

c. Does the application describe how AAAs and local community-based organizations will be involved in a meaningful way in the planning and implementation of the proposed project? Does the proposal address how performance measurement can be used to assist vulnerable populations? (5 points)

d. Does the proposal demonstrate innovative uses of performance measurement information? (5 points)

3. <u>Project Outcomes, Evaluation and Dissemination</u> <u>Weight: 25 points</u>

a. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the proposed project likely to be achieved. (10 points)

b. Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture "lessons learned" from the overall effort that might be of use to others in the field of aging, especially those who might be interested in replicating the project? Does the plan specifically provide a proposed methodology for assessing existing POMP tools? (10 points)

c. Will the dissemination plan get relevant and easy to use information in a timely manner to parties that might be interested in making use of its findings, particularly to those who might want to replicate the project? (5 points)

4. <u>Level of Effort</u>: <u>Weight: 20 points</u>

a. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Project directors or key consultants should have extensive analytical expertise, including performance measurement experience. 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? (15 points)

b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the budget request consistent with the number of AAAs and service providers collaborating on the project? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? Are budget line items clearly delineated and consistent with work plan objectives? (5 points)

Scoring Criteria for Priority Area 2- ADVANCED POMP

1. Purpose and Need for Assistance — Weight: 30 points

a. Does the proposed project clearly and adequately respond to **Priority Area 2**, as described in Part 1 of this Program Announcement, i.e. designing a protocol for the development of more robust performance outcome measures quantifying program impact in a manner that can be associated with program cost. (15 points)

b. Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to its purpose? Does the proposed project demonstrate awareness of the most recent information and knowledge regarding performance outcome measurement and Federal requirements pertaining to performance measurement? Does the applicant demonstrate knowledge of potential impact measurement techniques for OAA programs. (15 points)

2. Approach, Work Plan and Activities — Weight: 30 points

a. Is the methodology clearly defined? Does it reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcome(s)? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success? Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate? (10 points)

b. Is the project work plan clear and comprehensive? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the work plan include specific objectives and tasks that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carryout the project? (15 points)

c. Does the application describe how AAAs and local community-based organizations will be involved in a meaningful way in the planning and implementation of the proposed project? Does the proposal address how performance measurement can be used to assist vulnerable populations? (5 points)

3. Project Outcomes, Evaluation and Dissemination Weight: 20 points

a. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the proposed project likely to be achieved. (10 points)

b. Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? (5 points)

c. Will the dissemination plan get relevant and easy to use information 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? e.g. posting results on the POMP website. (5 points)

4. Level of Effort: Weight: 20 points

a. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Project directors or key consultants should have extensive analytical expertise, including performance measurement experience, and statistical methods. 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? (15 points)

b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the budget request consistent with the number of AAAs and service providers collaborating on the project? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? Are budget line items clearly delineated and consistent with work plan objectives? (5 points)

B. Review and Selection Process:

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

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

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notices

Successful applicants will receive an Approval letter, a Notice of Financial Assistance Award, and, for Priority Area 2, a Cooperative Agreement. The Notice of Financial Assistance Award is the authorizing document, and will be signed by the AoA grants officer, the AoA authorizing official, and the AoA budget office. The Cooperative Agreement is a contract between the Federal government and the grantee and is signed by the Assistant Secretary for Aging and the authorizing official of the grant. The original copy is held in the Office of Grants Management. Unsuccessful applicants are notified 30 days after successful applicants and will receive a disapproval letter.

B. Administrative and National Policy Requirements

The award is subject to DHHS Administrative Requirements which can be found in 45CFR Part 74 and 92, and AoA Standard Terms and Conditions.

C. Reporting

An original and two copies of the SF-269 (Financial Status Report) and the program progress report are due semi-annually. Final performance and SF-269 reports are due 90 days after the end of the project period. For more information see DHHS / AoA Standard Terms and Conditions.

VII. AGENCY CONTACT

Project Officer: U.S. Department of Health and Human Services
Administration on Aging, Office of Grants Management
Washington, D.C. 20201
attn: Cynthia Agens Bauer 202/357-0145.
Cynthia.Bauer@aoa.hhs.gov

Grants Management Officer: U.S. Department of Health and Human Services
Administration on Aging, Office of Grants Management
Washington, D.C. 20201
attn: Margaret Tolson 202/357-3440.
Margaret.Tolson@aoa.hhs.gov

VIII. OTHER INFORMATION

A. Order of Application Elements

To expedite the processing of applications, we request that you arrange the components of your application in the following order:

1. SF 424 – Application for Federal Assistance. Note: The original copy of the application must have an original signature in item 18d on the SF 424.

2. SF 424A – Budget Information.

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

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

5. AoA Certification.

6. Proof of non-profit status (if applicable).

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

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

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

10. Letters of Commitment From Key Partners.

11. Completed Application Package Checklist

B. Paperwork Reduction Act Statement

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 OMB control number for the narrative and supplemental instruction requirements is 0985-0018. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions and gathering the information needed.

ATTACHMENTS

Attachment A:
Grant Application Package Checklist

Attachment B:
Budget Justification - Sample Format with Examples

Attachment C:
Budget Justification – Sample Format

Attachment D:
Project Work Plan - Sample Format

Attachment E:
Summary/Abstract Instructions – with Example

Attachment F:
"Survey on Ensuring Equal Opportunity for Applicants"

Attachment A:
Grant Application Package Checklist

The checklist below identifies the items that must be included in your mail-in application submission. Please check-off each item to ensure your submission is complete, and include a copy of the completed checklist in your application package. The components of your submission should be ordered in the same sequence as the items listed below.

I have checked my application package to ensure that it includes:

- ❑ One original application plus two copies, with the SF 424 as the first page of each copy of the application.
- ❑ SF 424 – Application for Federal Assistance.
- ❑ SF 424A – Budget Information.
- ❑ Budget Justification.
- ❑ SF 424B - Assurances.
- ❑ AoA Certification. Be sure this form is completed according to the instructions, signed and dated by the authorized representative (see item 18d on SF 424).
- ❑ Proof of non-profit status (if applicable)
- ❑ A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency.
- ❑ Project Narrative, including Summary/Abstract
- ❑ Completed Grant Application Package Checklist
- ❑ Receipt of Application Acknowledgement Card (Optional)
- ❑ "Survey on Ensuring Equal Opportunity for Applicants" (optional)

Attachment B: Budget Justification, Page 1 – Sample Format with EXAMPLES

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$40,000		$5,000	$45,000	Project Supervisor (name) = .3FTE @ $50,000/yr = $15,000 Project Director (name) = 1FTE @ $30,000 = $30,000
Fringe Benefits	$12,600	0	0	$12,600	Fringes on Supervisor and Director @ 28% of salary. FICA (7.65%) = $3,442 Health (12%) = $5,400 Dental (5%) = $2,250 Life (2%) = $ 900 Workers Comp Insurance (.75%) = $ 338 Unemployment Insurance (.6%) = $ 270
Travel	$3,000	0	$ 967	$3,967	Travel to Annual Grantee Meeting: Airfare: 1 RT x 2 people x $750/RT = $1,500 Lodging: 3 nights x 2 people x $100/night = $ 600 Per Diem: 4 days x 2 people x $40/day = $ 320 Out-of-Town Project Site Visits Car mileage: 3 trips x 2 people x 350 miles /trip x $ .365/mile = $ 767 Lodging: 3 trips x 2 people x 1 night/ trip x $50/night = $300 Per Diem: 3 trips x 2 people x 2days/trip x $40/day = $480

Attachment B: Budget Justification, Page 2 - Sample Format with EXAMPLES

Object Class Category	Federal Funds	*Non-Federal Cash*	Non-Federal In-Kind	*TOTAL*	Justification
Equipment	0	0	0	0	No equipment requested
Supplies	$1,500		$2,000	$3,500	Laptop computer for use in client intakes = $1,340 Consumable supplies (paper, pens, etc.) $100/mo x 12 months = $1,200 Copying $80/mo x 12 months = $, 960
Contractual	$200,000	$50,000	0	$250,000	Contracts to A,B,C direct service providers (name providers) adult day care contractor = $75,000 respite care contractor in home= $75,000 respite care contractor-NF = $50,000 personal care/companion provider = $50,000 See detailed budget justification for each provider (and then provide it!)

Attachment B: Budget Justification, Page 3 – Sample Format with EXAMPLES

Other	$10,000	$8,000	$19,800	$37,800	Local conference registration fee (name conference) = $ 200 Printing brochures (50,000 @ $ .05 ea) = $ 2,500 Video production = $19,800 Video Reproduction = $ 3,500 NF Respite Training Manual reproduction $3/manual x $2000 manuals = $ 6,000 Postage $150/mo x 12 months = $ 1,800 Caregiver Forum meeting room rentals $200/day x 12 forums = $ 2,400 Respite Training Scholarships = $1,600
Indirect Charges	0	0	0	0	None
<u>TOTAL</u>	$265,700	$60,800	$27,767	$354,267	

75% of Total Cost

(Federal $)

25% of Total Cost

(Required Match)

Attachment C: Budget Justification – Page 1 – Sample Format

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					

Attachment C: Budget Justification – Page 2 – Sample Format

Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	Justification
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Attachment D: Project Work Plan, Page 1 – Sample Format

Goal:

Measurable Outcome(s):

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
1.														
2.														

Attachment D: Project Work Plan, Page 2 – Sample Format

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
3.														
4.														

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

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
5.														
6.														

NOTE: Please do note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Attachment E

Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary / Abstract that concisely describes the proposed project. It should be written for the general public.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes / products, and duration.
- To ensure uniformity, please limit the length to no more than 180 words in 12-15 sentences, with a font size of not less than 11, doubled-spaced.
- A model abstract / summary is provided below.

AN EXAMPLE

[Name of organization] will conduct a 2-year program of dyadic counseling to family caregivers and care recipients who are in early stages of dementia. The goals are to develop positive communication patterns, increase knowledge and understanding about available services, and increase the care recipients' active participation in his/her care plan. Eighty-eight care recipient dyads will be randomly assigned to either dyadic counseling or treatment as usual. Expected outcomes are: Family caregivers will have an increased understanding of their relative's preferences and values; Caregivers' and care recipients' preferences for care will show increased agreement; Knowledge of available services will increase; and Caregivers and care recipients will experience an increased sense of self-efficacy in managing consequences of dementia. Products will include a treatment manual, assessment tools, evaluation tools, a final report, manuscripts for publication, and web page information. These products will be disseminated to direct service organizations and Area Agencies on Aging.

Survey on Ensuring Equal Opportunity for Applicants

Enter relevant Grant Announcement Title and Number

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the Number assigned to your e-application in the box above entitled "***Enter relevant Grant Announcement Title and Number,***" in addition to the grant announcement title and number. Place and seal the completed survey in an envelope labeled "Applicant Survey" and mail it to the hard copy receipt point for the application. **SEE INSTRUCTIONS ON BACK.**

1. Does the applicant have 501(c)(3) status?

   ☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*

   ☐ 3 or Fewer ☐ 15-50
   ☐ 4-5 ☐ 51-100
   ☐ 6-14 ☐ over 100

3. What is the size of the applicant's annual budget? *(Check only one box.)*

   ☐ Less Than $150,000
   ☐ $150,000 - $299,999
   ☐ $300,000 - $499,999
   ☐ $500,000 - $999,999
   ☐ $1,000,000 - $4,999,999
   ☐ $5,000,000 or more

4. Is the applicant a faith-based/religious organization?

   ☐ Yes No ☐

5. Is the applicant a non-religious community-based organization?

   ☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

   ☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

   ☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

   ☐ Yes ☐ No

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

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

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

4. Self-identify.

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

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

7. Self-explanatory.

8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0014**. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Paperwork Reduction Act Clearance Officer, U.S. Department of Health and Human Services, Washington, D.C. 20201. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** the Program Official at the Agency where the form was submitted.