

Dear Colleague:

In our earlier letter dated February 13, 2001 we detailed the enactment of the Older Americans Act Amendments of 2000 (Public Law 106-501) and the establishment of an important new Title VI, Part C program, the Native American Caregiver Support Program. The purpose of this program is to help families caring for an older relative with a chronic illness or disability. The program will assist Tribes in providing multifaceted systems of support services for family caregivers and for grandparents or older individuals who are relative caregivers.

Congress has appropriated \$5 million for this program for FY 2001. Consistent with the Administration on Aging's (AoA) Tribal consultation plan, we sought input from you and other Tribal officials on implementing the new Native American Caregiver Support Program. As a result of this consultation process, both a formula and demonstration grant program were determined to be the best ways to utilize these funds in Indian country.

Attached are the announcements for both the formula and discretionary grants (Attachments A and C). Eligible applicants to apply for these funds are current Title VI, Parts A and B grantees. You may apply for both a formula and discretionary grant or one or the other. However, if you are selected for a discretionary grant you will not receive formula grant money. An optional Supplemental Application Guideline (Attachment B) is included for the formula grant applications. Discretionary grant applications will be competitive and undergo an internal grant review process based on the information in the application addressing the required information under "Application Content" in Attachment C.

If you have any questions regarding this process please contact Yvonne Jackson at (202) 619-2713 or Meg Graves at (202) 619-3108.

Sincerely,

M. Yvonne Jackson, Ph.D.
Director
Office for American Indian, Alaskan Native
and Native Hawaiian Programs

Attachments

Attachment A

**NATIVE AMERICAN CAREGIVER SUPPORT PROGRAM
FORMULA GRANTS**

Deadline: August 1, 2001

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)

Program Announcement No. AoA-01-09

Older Americans Act Title VI, Part C Formula Program Announcement

AGENCY: Administration on Aging (AoA)

ACTION: Announcement that grant awards will be made to existing Title VI grantees to expand their currently approved application for carrying out a Native American Caregiver Support Program. These grants are to provide a multifaceted Caregiver Support Program for family caregivers and grandparents or older individuals who are relative caregivers. This may be submitted as a narrative supplemental application to your current application.

STATUTORY AUTHORITY: The statutory authority for these grants is contained in Title VI, Part C, of the Older Americans Act as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501).

SUMMARY: The Administration on Aging will accept supplemental information from currently approved Title VI, Part A and Part B applications for funding in fiscal year (FY) 2001 under the Older Americans Act, Title VI, Part C Native American Caregiver Support Formula Program.

ADDRESS: Applications are to be mailed to U.S. Department of Health and Human Services; Administration on Aging; Margaret A. Tolson; Director; Grants Management Division; Room 4257; Cohen Building; 330 Independence Avenue, SW; Washington, DC 20201.

FOR FURTHER INFORMATION CONTACT: U.S. Department of Health and Human Services; Administration on Aging; M. Yvonne Jackson, Ph.D.; Director; Office for American Indian, Alaskan Native and Native Hawaiian Programs; Room 4743; Cohen Building; 330 Independence Avenue, SW; Washington, DC 20201; telephone: (202) 619-2713; fax: (202) 260-1012; email: Yvonne.Jackson@aoa.gov.

SUPPLEMENTAL INFORMATION:

1. Background and Program Purpose

The Administration on Aging is responsible for administering Title VI, Part C of the Older Americans Act, which provides for grants to help families caring for an older relative with a chronic illness or disability. The program will assist Tribes in providing multifaceted systems of support services for family caregivers and for grandparents or older individuals who are relative caregivers.

2. Eligible Applicants

Tribal organizations with applications currently approved under Part A and organizations representing Native Hawaiian elders under Part B are eligible to submit supplemental applications for Part C. Applicants may apply for both the formula program and discretionary grant program but shall only receive a grant from one or the other, not both.

3. Available Funds

Distribution of funds among tribal organizations is subject to the availability of appropriations to carry out Title VI, Part C. Information on estimated grant amounts is given below as a guide to possible funding levels for Tribes representing the following documented numbers of Indian elders over age 60 as stated in the currently funded Title VI, Part A or B application.

Potential Number of Grants: 235

Estimated Grant Amounts:

- \$10,000 for populations of 50-100 elders
- 15,000 for populations of 101-200 elders
- 20,000 for populations of 201-300 elders
- 25,000 for populations of 301-400 elders
- 30,000 for populations of 401-500 elders
- 35,000 for populations of 501-1500 elders
- 40,000 for populations of 1501+ elders

4. Application Process

Applicants should submit applications, describing their proposed plans for their Caregiving Program as described in “Content of the Application.”

For current Title VI, Part A grantees the project period for Title VI, Part C will run through March 31, 2005. The first year award for Title VI, Part C will not be for less than 12 months or more than 17 months. The following budget periods within the project period will be granted at the same time as your Title VI, Part A award.

For current Title VI, Part B grantees the project period for Title VI, Part C will be September 30, 2001 to September 29, 2005.

Funding will be based on the numbers of eligible elders age 60 and over as stated in your most recently approved Title VI, Part A or Part B application.

The progress reports, consisting of a narrative and Financial Status Report (Standard Form 269), will be reviewed for compliance with the program requirements. Failure to submit the required reports during the project period may result in loss of future funds and possibly termination of the grant within the project period.

Thirty days prior to the end of each budget period within the three year project period grantees shall notify AoA as to their desire to continue as a grantee. Failure to submit this documentation within the required timeframe may result in loss of grant funding. At the beginning of each budget period within the three-year project period grantees will be notified of the funding level for the subsequent year.

One original application, signed by the principal official of the tribe, and two copies of the complete application, including all attachments, must be submitted to the Administration receipt point specified under "Address". Tribal resolutions may be included in the application, but are not required. Incomplete applications and applications postmarked after the closing date will not be considered for funding. Certifications are attached (Attachment D).

5. Content of the Application

Although these formula grants may build on existing services, these grants are not intended merely to augment services being provided through Title VI, Parts A and B. The Caregiver Support Program must demonstrate how it will provide the five basic components of the program either through these grant funds or coordinating with other programs and services to assure the components are provided. The five components are: 1) information to caregivers about available services; 2) assistance to caregivers in gaining access to the services; 3) individual counseling, organization of support groups, and caregiver training to caregivers to assist the caregivers in making decisions and solving problems relating to their caregiving roles; 4) respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and 5) supplemental services, on a limited basis, to complement the care provided by caregivers. Examples of services in the five service categories include:

Information: Group services, including public education, provision of Information at community meetings, health fairs, and other similar meetings; mass media, including articles and notices in Tribal newspaper and newsletters and radio and TV announcements.

Assistance: Individual one-on-one contact for the purpose of linking the caregiver with opportunities and services that are available, and when possible,

ensuring that the caregiver receives the services by establishing adequate follow-up.

Counseling/Support Groups/Training: Provision of advice, guidance and instruction about options and methods for providing support to caregivers in an individual or group setting.

Respite: Temporary, substitute supports or living arrangements to provide brief period of relief or rest for caregivers who are caring for a frail elder. It can be in the form of in-home respite care, adult day care respite, or institutional respite for an overnight stay on an intermittent, occasional, or emergency basis.

Supplemental Services: Other services, as defined by the Tribe, to support the needs of caregivers providing care to frail elders.

Provisions of the above five services must be addressed in the application. Money from this supplemental grant does not have to pay for each of these five service areas as long as you are able to demonstrate how these services will be coordinated and provided as a multifaceted program. The supplemental application needs to describe how the Tribal organization will coordinate with the activities of other community agencies and voluntary organizations providing caregiver support services and activities.

The supplemental application needs to provide information on how older individuals with the greatest social and economic need and older individuals providing care and support to persons with mental retardation and related developmental disabilities will receive priority. Finally, the supplemental application needs to provide information about what quality standards and mechanisms will be established and how these standards and mechanisms will be used to monitor the program and provide assurances that the Tribal organization will submit the required reports to the AoA in the format and time frames established by AoA.

The application may be submitted in a narrative format. For your convenience, a Supplemental Application Guideline is included (see Attachment A). You may submit this Guideline as your narrative. However, the use of this Guideline is optional and you may use any format you choose as long as the issues are addressed in the content of the application.

Grantees are required to submit two progress reports consisting of a narrative and Financial Status Report (Standard Form 269), within each budget period. A Title VI Update with a reporting schedule will be provided shortly after you receive your Title VI, Part C grant award.

6. Closing Date for Application

All applications must be postmarked or received by **August 1, 2001**. (Applicants are cautioned to request a legibly dated U.S. Postal Service postmark, or to obtain a legibly

dated receipt from a commercial carrier or the U.S. Postal Service. Private metered postmarks are not acceptable as proof of timely mailing.)

7. Action on Applications

Awards will be made by the Assistant Secretary for Aging. Funding decisions will be announced as soon as possible.

(Catalog of Federal Domestic Assistance Program No. 93.047. This Program Announcement is not subject to E.O. 12372.)

Dated:

Attachment B

**SUPPLEMENTAL APPLICATION GUIDELINE
TITLE VI, PART C
FORMULA GRANTS**

1. Describe the purpose of your Native American Caregiver Support Program:

2. Describe how you plan to provide the following services. If you will not be providing the service with funding from this program, please describe how you will assure that the service is being provided.
 - a. Information to caregivers about available services:

 - b. Assistance to caregivers in gaining access to the services:

c. Individual counseling, organization of support groups, and caregiver training to caregivers to assist the caregivers in making decisions and solving problems relating to their care giving roles:

d. Respite care to enable caregivers to be temporarily relieved from their care giving responsibilities:

e. Supplemental services, on a limited basis, to complement the care provided by caregivers:

3. Describe how you will target the program to give priority to caregivers of older individuals with the greatest social and economic need and older individuals providing care and support to persons with mental retardation and related developmental disabilities.

4. Describe how you will coordinate the activities of other community agencies and voluntary organizations providing caregiver support services and activities.

5. Describe the quality standards and mechanisms that you will establish and how these standards and mechanisms will be used to monitor the program.

6. Provide assurances that the Tribal organization will submit the required reports to AoA in the format and time frames established by AoA.

Attachment C

NATIVE AMERICAN CAREGIVER SUPPORT PROGRAM DISCRETIONARY GRANTS Deadline: August 1, 2001

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)

Program Announcement No. AoA-01-10

Older Americans Act Title VI, Part C Discretionary Program Announcement

AGENCY: Administration on Aging (AoA)

ACTION: Announcement that grant awards will be made for innovative programs and activities of national significance under the Native American Caregiver Support Program. These grants are to develop services and systems to sustain the efforts of families and other informal caregivers of older individuals, and grandparents or older individuals who are relative caregivers of children and disseminate the results to other Tribes, Alaskan Native organizations and organizations serving Native Hawaiians.

STATUTORY AUTHORITY: The statutory authority for these grants is contained in Title VI, Part C, of the Older Americans Act as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501).

SUMMARY: The Administration on Aging will accept applications for funding in fiscal year (FY) 2001 under the Older Americans Act, Title VI, Part C Native American Caregiver Support Discretionary Program, from all current Title VI, Parts A and B grantees.

ADDRESS: Applications are to be mailed to U.S. Department of Health and Human Services; Administration on Aging; Margaret A. Tolson; Director; Grants Management Division; Room 4257; Cohen Building; 330 Independence Avenue, SW; Washington, DC 20201.

FOR FURTHER INFORMATION CONTACT: U.S. Department of Health and Human Services; Administration on Aging; M. Yvonne Jackson, Ph.D.; Director; Office for American Indian, Alaskan Native and Native Hawaiian Programs; Room 4743; Cohen Building; 330 Independence Avenue, SW; Washington, DC 20201; telephone: (202) 619-2713; fax: (202) 260-1012; email: Yvonne.Jackson@aoa.gov.

Part 1. Background Information and Priority Area Description

A. Eligible Applicants

Tribal organizations with applications currently approved under Part A and organizations representing Native Hawaiian elders under Part B. Applicants may apply for both the formula program and discretionary grant program but shall only receive a grant from one or the other, not both.

B. Priority Areas

There are three Priority Areas for competition under this announcement:

- Building Multi-Faceted Native American Caregiver Support Programs – Starting at the Beginning
- Building Multi-Faceted Native American Caregiver Support Programs – Coordination and Leverage
- Building Multi-Faceted Native American Caregiver Support Programs – Quality Standards and Mechanisms of Accountability

C. Project Funding and Duration

AoA plans to fund up to ten projects nationwide. The demonstration projects will run through March 31, 2005 for Title VI, Part A grantees and through September 29, 2005 for Title VI, Part B grantees. Funding after the first year is contingent on the availability of federal funds and the grantee's performance relative to project goals and the grantee's compliance with the terms and conditions of the grant. The funding for these demonstration projects will stop after the end after the project period.

D. Reporting

Grantees are required to submit two progress reports consisting of a narrative and Financial Status Report (Standard Form 269), within each budget period. A reporting schedule will be provided shortly after you receive your grant award.

E. Application Content

To the extent possible, please use the following format for your narrative.

1. Purpose of Project/Statement of Problem – describe the project/problem in terms of the priority area.
2. Demonstrated Need – describe the specific need that this project will address. Be specific and use any available data to support the need.
3. Project Design and Work Plan – clearly identify:

- a. The target population(s);
- b. Partners;
- c. Approaches to be taken;
- d. Specific deliverables and time frames;
- e. Expected outcomes;
- f. Work plan with clear delineation of responsible person(s)/organizations;
- g. Information on how planned activities will compliment, coordinate, etc, with existing programs and services; and
- h. Dissemination strategy.

4. Evaluation Plan – describe how the program will be monitored and evaluated.

F. Application Format

Although applicants should follow the above format to the extent possible, application reviewers will primarily be scoring the information content and not the format. However, all the information must be presented.

The narrative portion of the application should not exceed 20 pages double-spaced typewritten pages.

G. Priority Area Description

Priority Area 1. Building Multi-Faceted Native American Caregiver Support Programs – Starting at the Beginning

Native Americans have always been family caregivers. However, with the rapidly increasing numbers of elders combined with increased chronic diseases and disability that often accompany aging, there is a need to establish programs to support the family caregivers. While some Tribes have been able to develop a variety of caregiver support services, other Tribes are in the early stages of identifying the needs in their community. AoA is interested in funding projects to identify the need and demonstrate the process for developing a Family Caregiver Support Program in Indian Country. This process would then be shared with other Tribes, Alaska Native organizations and organizations serving Native Hawaiians. A project under this priority might include developing a methodology for identifying the most critical needs of family caregivers, developing a method for prioritizing the identified needs, developing the most effective programs or services to address the needs of caregivers, and then demonstrating the outcome of using the methodology that was developed. AoA will consider funding up to three demonstration grants of up to \$100,000 each per year, for up to three years for this priority area.

Priority Area II. Building Multi-Faceted Native American Caregiver Support Programs – Coordination and Leverage

Some caregiver support services may be available from a variety of programs and organizations, both Tribal and non-Tribal, within a given geographical area. AoA is interested in funding projects that demonstrate effective coordination efforts that leverage services for family caregivers that can be shared with other Tribes, Alaska Native organizations and organizations serving Native Hawaiians. A project under this priority area might include developing a methodology for identifying all the family caregiver support programs and services available in the area, developing a “how-to” model for establishing relationships with the programs in order to coordinate and leverage services, and then demonstrate the outcome of using the model. AoA will consider funding up to four demonstration grants of up to \$100,000 each per year, for up to three years for this priority area.

Priority Area III. Building Multi-Faceted Native American Caregiver Support Programs – Quality Standards and Mechanisms of Accountability

The Native American Caregiver Support Program requires Tribes participating in this program to, “establish standards and mechanisms designed to assure the quality of services made available...” AoA is interested in funding projects to develop and/or adapt existing quality service standards and mechanisms for use in Native American programs. These standards and mechanisms would then be shared with Tribes, Native Alaska organizations and organizations serving native Hawaiians. A project under this priority area might design, test, and implement service standards and quality assurance mechanisms for multifaceted systems of supportive services for family caregivers. The expectation is that other Tribes could adapt these service standards and quality assurance mechanisms to their Caregiver Support Programs. AoA will consider funding up to three demonstration grants of up to \$100,000 each per year, for up to three years for this priority area.

**Application Kit for Discretionary
Grant Applicants**

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)

Administration on Aging (AoA)

Title VI, Part C Native American Caregiver Support Program
Discretionary Grants

INSTRUCTIONS FOR PREPARING GRANT APPLICATION

The accompanying set of materials describes, in detail, the process governing the consideration of project applications for funding under the Title VI, Part C Discretionary Grant Program and provides guidance on how to prepare and submit an application. All of the forms, assurances, and certifications necessary to complete the application are included.

FOR FURTHER INFORMATION CONTACT: Department of Health and Human Services; Administration on Aging; Office for American Indian, Alaskan Native and Native Hawaiian Programs; M. Yvonne Jackson; Director; Cohen Building; 330 Independence Avenue, SW; Room 4743; Washington, DC 20201; telephone: (202) 619-2713.

ADDRESS: Applications are to be mailed to Department of Health and Human Services; Administration on Aging; Margaret A. Tolson; Director; Grants Management Division; Cohen Building; 330 Independence Avenue, SW; Room 4257; Washington, DC 20201.

ELIGIBLE APPLICANTS: Tribal organizations with applications currently approved under Parts A and B. Applicants may apply for both the formula program and discretionary grant program but shall only receive a grant from one or the other, not both.

Information and Guidelines for the Application Process and Review

Evaluation Criteria for Priority Areas I through III

An independent review panel of at least three individuals will evaluate proposals that meet all screening criteria. These reviewers, experts in the fields of aging, care giving, service delivery and evaluation and Indian issues will be drawn from federal government agencies other than AoA. Based on the specific programmatic considerations set forth in the priority area, the reviewers will comment on and score the application, focusing their comments and scoring decisions on the criteria below.

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

1. Purpose and Need for Assistance

Weight: 20 points

Does the application adequately and appropriately describe and document the key problems(s)/conditions(s) relevant to its purpose? Is the proposed project justified in terms of the most recent, relevant, and available information and/or knowledge?

2. Approach/Methodology – Work plan and Activities Weight: 30 points

- a. Does the proposal clearly express and organize a work plan that systematically includes specific objectives, tasks, and activities which are responsive to the project's purpose? (20 points)
- b. Does the work plan include a detailed timeline for the accomplishment of tasks and objectives? Is the sequence and timing of events logical and realistic? (5 points)
- c. Are the roles and contribution of staff, consultants, and collaborative organizations clearly defined and linked to specific objects and tasks? Does the work plan specify who will be responsible for managing the project; for the preparation and dissemination of project results, products, and reports; and for communications with the Administration on Aging? (5 points)

3. Anticipated Outcomes, Benefits, and Products Weight: 30 points

- a. Are the expected benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the project measurable and likely to be achieved; will they significantly benefit older people? (20 points)
- b. Has the applicant recognized the importance of disseminating the project's results and products and of promoting a timely awareness among stakeholders in the field of aging of the project's activities, events, and expected results? (10 points)

4. Level of Effort Weight: 20 points

- a. Do the proposed project director, key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Is the time commitment of the proposed director sufficient to assure proper direction, management and completion of the project? Is the time commitment of other key staff sufficient to assure completion of the tasks proposed for the project? (10 points)
- b. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with work plan objectives? (5 points)

- c. 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? (5 points)

Completing the SF 424 – Cover Page

Complete only the items specified in the following instructions:

- Item 1. Preprinted on the form.
- Item 2. Fill in the date you submitted the application. Leave the applicant identifier box blank.
- Item 3. Not applicable.
- Item 4. Leave blank.
- Item 5. Provide the legal name of the applicant; the name of the primary organizational unit which will undertake the assistance activity; the applicant 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 as assigned 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. Preprinted on form.
- Item 9. Preprinted on form.
- Item 10. Preprinted on form.
- Item 11. The title should describe concisely the nature of the project proposal. Avoid repeating the title of the program announcement or the name of the applicant. Try not to exceed 10 to 12 words and 120 characters including spaces and punctuation.
- Item 12. Preprinted on form.
- Item 13. Enter the desired start and end dates for the project.
- Item 14. List the applicant's Congressional District and the District(s), if any, directly affected by the proposed project.

Item 15. All budget information entered under item #15 should cover only the first 12 months of the project. The applicant should show the federal support requested under sub-item 15a. Sub-items 15b-15e are considered cost-sharing or “matching funds”. Applicants should review cost sharing or matching principles contained in Subpart G or 45 CFR Part 74 before completing not just Item 15, but the Budget Information Sections A, B and C that follow. It is important that the dollar amounts entered in sub-items 15b-15f total at least 25 percent of the total project cost (total project cost is equal to the requested federal funds plus funds from non-federal sources).

In general, costs borne by the applicant and cash contributions of an and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered cash matching funds. Most contributions from third parties will be non-cash (i.e. in-kind). Examples 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 which is to be used as part of the qualifying match should be shown here.

Item 16. Preprinted on form.

Item 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

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

Completing the SF 424A – Budget Information

This form (SF424A) is designed to apply for funding under more than one grant program; thus, for purposes of this AoA program, most of the budget item columns/blocks are superfluous and should be regarded as not applicable. The applicant should consider and respond to only the budget items for which guidance is provided below.

Section A – Budget Summary and Section B – Budget Categories should include both Federal and non-Federal funding for the proposed project covering the first 12 months of the project period.

Section A – Budget Summary

On line 5, 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 total of columns (e) and (f) in column (g).

Section B – Budget Categories

Use only the last column under Section B, namely the column headed Total (5), to enter the total requirements for funds (combining both the federal and non-federal shares) by object class category.

A fuller explanation of the proposed budget should be provided in a “budget justification” section. In that budget justification, consider including an overall budget breakdown which shows in three columns all of the budget cost items by federal, non-federal, and total funds. The rest of this separate budget presentation should fully explain and justify each of the major budget items: personnel travel, other, etc., as outlined below. The column for non-federal funds shown for any of the budget line items in the budget justification sheet reflects only cash match contributions (see instructions above for item 15 on the face sheet of the 424 Form). Third party in-kind contributions and program income designated as non-federal match contributions should be identified and justified separately from the justification for the budget line items. The full budget justification (allow up to four pages) should be included in the application immediately follow 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. 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. Justification: Provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Line 6c – Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant’s travel or local transportation. Justification: include the total number of trips, destinations, length of stay, transportation costs and subsistence allowances.

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 two years and an acquisition cost of \$5,000 or more per unit. Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Line 6e – Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

Line 6f – Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and, (2) contracts with secondary recipient organizations. 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 transfer 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.

Line 6g – Construction: Leave blank since new construction is not allowable and federal funds are rarely used for either renovation or repair.

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; contractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); space and equipment rentals; printing and publication; computer use; training and staff development costs. 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.

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. Applicants other than state and local governments are requested to enclose a copy of this agreement. Local and state government should enter the amount of indirect costs determined in accordance with DHHS requirements. When an indirect cost rate is requested, these costs are included in the indirect cost pool and should not be also charged as direct costs to the project.

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

Line 7 – Program Income/Third Party In-kind: Include on line 7 any third party in-kind contributions being proposed as part of the grantee match. Also, as appropriate, estimate the amount of income, if any, expected to be generated from this project which 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 which will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

Section C – Non-Federal Resources

Line 12 – Totals: Enter amounts of non-Federal resources that will be used in carrying out the proposed project. Do not include program income unless it is used to meet match requirements.

Section D – Forecasted Cash Needs: Not applicable.

Section E – Budget Estimate of Federal Funds Needed for Balance of the Project. Complete this section if the desired total project period encompasses more than one 12 month funding periods.

Line 20 – Totals: If applicable, enter the estimated required federal funds (exclude estimates of the amount of cost sharing) for the period covering months 13 through 24 under column “(b) First,” and for the period covering months 25 through 36 under column “(c) Second,” and so forth.

Section F – Other Budget Information

Line 21 – Direct Charges: Not applicable

Line 22 – Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs.

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

3. SF 424B – Assurances

SF 424B, Assurances—Non-Construction Programs, contains assurances required of applicants under the Title IV Program of the Administration on Aging. Please note that a duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances.

4. Certification Forms

Certifications are required of the applicant regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (3) 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. Project Summary Description

The project summary description (page one) begins the substantive part of the application. It should be headed by two identifiers: (1) the name of the applicant organization as shown in SF 424, item 5; and (2) the title of the application. Please limit the summary description to one page.

Outline the objectives of the proposed project, the approaches to be used and the outcomes expected. At the end of the summary, list major products that will result from the proposed project (such as manuals, data collection instruments, training packages, audio-visuals, software packages). The project summary description, together with the information on the SF 424, becomes the project "abstract" which is entered into the AoA computer database. The project description provides the reviewer with an introduction to the substantive parts of the application. Therefore, care should be taken to produce a summary, which accurately and concisely reflects the proposal.

6. Program Narrative

The Program Narrative is the critical part of the application. In describing your proposed project, make certain that you respond fully to the evaluation criteria set forth in Section E above. The organization of the narrative might well, in fact, parallel the criteria, beginning with an integrated discussion of (A) the project's purpose(s), relevance, and significance, which answers the questions of why the proposed project should be undertaken and what it intends to accomplish. The next section of the narrative provides a detailed explanation of (B) the approach(es) the project will follow to achieve its purpose(s), leading to a discussion of (C) the anticipated outcomes/results/benefits of the project's activities and how these will be disseminated and utilized. The narrative concludes with (D) the level of effort needed to carry out the project, in terms of the Project Director and other key staff, funding, and other resources.

Please have the narrative typed, double-spaced, on one side of 8 ½" x 11" plain white paper with 1" margins on both sides. All pages of the narrative (including charts, tables, etc.) should be sequentially numbered, beginning with "Objectives and Need for Assistance" as page number two (2). At the close of the project narrative, please identify the author(s) of the proposal, their relationship with the applicant, and the role they will play, if any, should the project be funded.

7. 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. This description should cover capabilities of the applicant 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.

8. Letters of Commitment From Participating Organizations and Agencies

Include confirmation of the commitments to the project (should it be funded) made by collaborating organizations and agencies in this part of the application.

I. Checklist for a Complete Application

The checklist below should be typed on 8 ½” x 11” plain white paper, completed and included in your application package. It should help I making sure you have not overlooked anything of importance.

CHECKLIST

I have checked my application package to ensure that it includes or is in accord with the following:

- One original application plus two copies, with the SF 424 as the first page of each copy of the application;
- SF 424; SF 424A – Budget Information (and accompanying Budget Justification); SF 424B – Assurances; and Certification;
- SF 424 has been completed according to the instructions, signed and dated by an authorized official (item 18);
- As necessary, a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency;
- Summary description;
- Program narrative;
- Organizational capability statement and vitae for key personnel;
- Letters of commitment and cooperation, as appropriate.

J. Points to Remember

1. Please adhere to a thirty (20) double-spaced page limitation for the substantive parts of the application.
2. You are required to send an original and two copies of an application.
3. The summary description should accurately reflect the nature and scope of the proposed project.
4. Be sure you are satisfied that your program narrative responds fully and cogently to the four (4) evaluative criteria, which will be used by reviewers to evaluate and score all applications.

5. Do not include letters which endorse the project in general and perfunctory terms. In contrast, letters, which describe and verify tangible commitments to the project, e.g., funds, staff, space, should be included.
6. Before submitting the application, have someone other than the author(s) carry out a trial run review based upon the evaluative criteria. Take the opportunity to consider the results of the trial run and then make whatever changes you deem appropriate.
7. Mail the application to:

Department of Health and Human Services
Administration on Aging
Margaret A. Tolson
Director
Grants Management Division
330 Independence Avenue, SW
Room 4257
Washington, DC 20201

Attachment D

Grant Application Forms and Certifications

**may be downloaded from the Administration on Aging
web site at:**

<http://www.aoa.gov/t4/forms/>

**(To be completed for both the formula and
discretionary
grant applications.)**