

Program Announcement

Alzheimer's Disease Demonstration Grants to States (ADDGS) Program

U.S. Administration on Aging

March 23, 2005

Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center: Center for Wellness and Community-Based Services

Funding Opportunity Title: Alzheimer's Disease Demonstration Grants to States (ADDGS) Program

Announcement Type: Initial

Funding Opportunity Number: HHS-2005-AoA-AZ-0502

Catalog of Federal Domestic Assistance (CFDA) Number: 93.051

Key Dates: The deadline date for submission of applications is May 27, 2005.

Additional Overview Content

The Administration on Aging (AoA) will hold a competition for grant awards to develop innovative approaches that enhance state systems and provide support to persons with Alzheimer's Disease and their family caregivers.

All **project periods** will begin July 1, 2005. Grant awards made under this announcement are subject to the availability of funds for the support of the priority area project activities described herein.

With this announcement, AoA is continuing to strengthen the ADDGS Program by incorporating:

1. A requirement that applicants, in the formulation of their project proposals, review and use findings from the research on evidence-based service models and techniques for supporting persons with Alzheimer's Disease and their family caregivers. (NOTE: Evidence-based research is defined as controlled research that has been published in scientific journals).
2. A greater focus on using the ADDGS Program as a vehicle for advancing changes to a state's overall system of home and community-based care, including a requirement that project activities be linked to other state system change efforts, including state programs to streamline consumer access to services and family caregiver support programs.

I. FUNDING OPPORTUNITY DESCRIPTION

The statutory authority for grant awards for the Alzheimer's Disease Demonstration Grants to States program is contained in Sec. 398 of the Public Health Service Act (42 U.S.C. 398 et seq.), as amended by Public Law 101-157 and by 105-379, the Health Professions Education Partnerships Act of 1998.

AoA plans to fund approximately seven new three-year projects nationwide through this

competition. The projects will be funded at a federal share of approximately \$250,000 - \$325,000 per year for a project period of three years (contingent on the availability of funds). A total of \$2,275,000 has been allocated for three-year grants. **Three-year grant options are available to all States that will not be receiving ADDGS funds as of July 1, 2005.**

Section 398 of the Public Health Service Act (42 U.S.C. 398 et seq.), as amended, requires that grantees provide a 25% match (cash or in-kind) during the first year, 35% during the second year, and 45% during the third and subsequent years of the grant period. Waivers to these match requirements are not allowed.

States can use ADDGS grant funds to carry out demonstration projects for planning, establishing and operating programs:

- 1) To coordinate the development and operation with public and private organizations of diagnostic, treatment, care services provided within the State to individuals with Alzheimer's disease or related disorders and to the families and care providers of such individuals;
- 2) To provide home health care, personal care, day care, companion services, short-term care in health facilities, and other respite care to individuals with Alzheimer's disease or related disorders who are living in single family homes or congregate settings. (at least 50% of the total federal grant funds are to be spent on providing these direct services);
- 3) To improve the access of such individuals to home-based or community-based long-term care services, particularly such individuals who are members of racial or ethnic minority groups, who have limited proficiency in speaking the English language, or who live in rural areas; and
- 4) To provide to health care providers, to individuals with Alzheimer's disease or related disorders, to the families of such individuals, to organizations established for such individuals and such families, and to the general public, information with respect to:
 - (A) diagnostic services, treatment services, and related services available to such individuals and to the families of such individuals;
 - (B) sources of assistance in obtaining such services, including assistance under entitlement programs; and
 - (C) the legal rights of such individuals and such families."

Alzheimer's disease (AD) is a progressive, degenerative disease of the brain, and the most common form of dementia. Discovered and described in 1906 by Dr. Alois Alzheimer, AD now affects approximately 4 million Americans. Unless a cure or prevention is found, it is estimated that the number of Americans with Alzheimer's will climb to 14 million by the middle of the next century. Although AD is not a normal part of aging, one in 10 persons over 65 and nearly half of those over 85 may have Alzheimer's disease. A small percentage of people in their 30s and 40s also develop the disease. Although AD eventually results in death, the disease can progress for years. A person with AD lives an average of 8 years, but

can live as many as 20 years or more from the onset of symptoms.

To focus attention on this need, to encourage states to develop models of assistance for persons with Alzheimer's disease, and to encourage close coordination and incorporation of those services into the broader home and community based care system, Congress funded the Alzheimer's Disease Demonstration Grants to States (ADDGS) program in 1991. Congress transferred the administration of the program to the AoA in 1998, in an effort to ensure coordination with other programs for older Americans. To date, the ADDGS program has proven successful in targeting service and system development to traditionally underserved populations, including ethnic minorities, low-income and rural families coping with Alzheimer's disease.

Since 1992, there have been fifty-one (51) states and territories funded through the Alzheimer's Disease Demonstration Grants to States program. In FY 2005, twenty-eight (28) states are not eligible to submit an application under this RFP, because they are continuing current ADDGS grantees. These states include: Alabama, Arizona, Arkansas, California, Connecticut, Delaware, District of Columbia, Florida, Idaho, Indiana, Iowa, Kentucky, Louisiana, Maine, Minnesota, Missouri, Nebraska, Nevada, New Mexico, North Carolina, North Dakota, Puerto Rico, Rhode Island, Tennessee, Utah, Vermont, Virginia, and Wisconsin.

Applications are sought from State Governmental agencies; the applicant agency is encouraged to have the support and active involvement of the Single State Agency on Aging (only one application per state will be funded) to carry out the following two program priorities, as applicable.

Requirement 1: **Use findings from evidence-based research on service models and techniques to support people with Alzheimer's Disease and their family caregivers, in the formulation of ADDGS projects.**

➔ ALL STATES MUST ADDRESS REQUIRMENT 1.

Discussion

With this Program Announcement, AoA will continue to move the ADDGS program towards the use of an evidence-based approach to service innovation. Consistent with AoA's new emphasis on the use of "the best available science" in designing and implementing community-based programs, it is AoA's expectation that **ALL** applicants will review and use available scientific research findings in the formulation of their project proposals. Possible evidence-based projects to review, include but are not limited to, findings from ***REACH*** (Resources for Enhancing Alzheimer's Caregiver Health) projects (National Institute on Aging), ***Savvy Caregiver*** (University of Minnesota), ***Making Sense of Memory Loss*** (Mather Life Ways), and ***Reducing Disability in Alzheimer's Disease*** (University of Washington). Applicants are not expected to replicate research findings; but they are expected to review and use the existing research in formulation their project proposal and to document this process by citing in their proposals the specific research that was examined.

Additional information on these and other evidence-based research that has relevance for the ADDGS program can be found under “What’s New?” on the AoA Alzheimer’s Resource Room Web page --- www.aoa.gov/alz.

Requirement 2: Use the ADDGS project to improve the responsiveness of the state’s overall system of home and community-based care to the needs and preferences of persons with Alzheimer’s Disease and related disorders, and link the project to other state systems change activities, including state efforts to streamline access to services and programs that support family caregivers.

→ ALL STATES MUST ADDRESS REQUIREMENT 2.

Discussion

The Department of Health and Human Services, as part of the President’s New Freedom Initiative, has provided states with a number of tools, in the form of various grant programs, that states are using to make their systems of long term care more responsive to the needs and preferences of people with disabilities and more supportive of home and community-based care. These “tools” include the National Family Caregiver Support Program, the Real Choice Systems Change grants, the Independence Plus Waiver, the Aging and Disability Resource Center program, and the Cash and Counseling Next Steps Program. As states look to the continued development of their home and community based care systems, it is essential they consider ways to ensure that their systems of care are responsive to the needs and preferences of people with Alzheimer’s Disease and their family caregivers. With this grant announcement, we expect states to strategically advance changes in the state’s overall system of care for people with Alzheimer’s disease. At a minimum, AoA expects ADDGS activities to be coordinated with other state systems change activities, including efforts to streamline access (e.g., the AoA/CMS Aging and Disability Resource Center grants program) and to programs that support family caregivers (e.g., the National Family Caregiver Support Program). AoA also encourages applicants to coordinate with appropriate activities funded under the CMS Real Choice Systems Change grant program. AoA will not fund 3-year grant applications for discrete, stand-alone projects that are not connected to the state’s overall system change activities.

AoA understands that methods for advancing system change with ADDGS grant funds may vary from state to state. AoA also recognizes that not all states will start from the same position of integrating Alzheimer’s Disease programs into their long-term care system. Accordingly, to help ensure no state has an undue advantage or disadvantage in competing for funds under this announcement, AoA will evaluate proposals based on the **extent of the progress** a state expects to make under the grant in advancing system changes, not on the current status of state efforts to support people with Alzheimer’s Disease and their family caregivers. States that already have systems that include major elements of the ADDGS Program will be successful only to the extent that further progress can be demonstrated (e.g., by adding additional functions, expanding geographical coverage, expanding target group coverage, etc.).

II. AWARD INFORMATION

Three-year Grant Option:

- Anticipated Total Priority Area Funding: \$2,275,000
- Anticipated Number of Awards: 7
- Ceiling on Amount of Individual Awards: \$325,000
- Floor of Individual Amounts: none
- Average Projected Award Amount: \$250,000 to \$325,000
- Project Period for Awards: 36 month projects with 12 month budget periods, subject to the availability of funds
- **Three-year grants are available to all States that will not be receiving ADDGS funds as of July 1, 2005.**

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

Awards will be made to agencies of State Governments. The applicant agency is encouraged to have the support and active involvement of the Single State Agency on Aging. Only one application per State will be funded; however, multiple state and local agencies are encouraged to collaborate in planning and carrying out the project.

All States, except those who will be receiving ADDGS funds as of July 1, 2005, are eligible to apply. Preference, however, will be given to States that have not previously funded through this program.

2. Cost Sharing or Matching

Section 398 of the Public Health Service Act (42 U.S.C. 398 et seq.), as amended, requires that grantees provide a 25% match (cash or in-kind) during the first year, 35% during the second year, and 45% during the third and subsequent years of the grant period. Waivers to these match requirements are not allowed.

The formula for calculating the required first year match is:

$$\frac{\text{Federal Funds requested (i.e., \$320,000)} \times \text{Applicant Match Rate (i.e., 25\%)}}{\text{Federal Match Rate (i.e., 75\%)}} = \text{Project Match}$$

Under this program, AoA will fund no more than 75 % of the project's total cost in the first grant year, 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 above formula which you can use to calculate your minimum required match: A common error applicants make is to match 25% of the federal share, rather than 25% of the project's total cost, so be sure to use one of the formulas above to calculate your match requirement.

3. Other

Applicants must involve community-based organizations in the planning and implementation of their project. Applicants must also include disadvantaged populations, including limited-English speaking populations, as a target population for their proposed intervention. Priority will be given to States that propose to focus their activities and services to support populations that are underserved by public and private programs in the state or territory because of their income, culture or language, geographic location (rural), and developmental disability.

Due to the focus on systems change, it is expected that the State Project Director will devote at least 25% of their time to the implementation and management of this project. This information should be reflected in the budget justification included with all applications. States that fail to meet this requirement will not be funded.

TRAVEL: The application should include funds for the project leadership to participate in a 3-day annual national meeting of funded projects held in Washington, D.C. each autumn. Up to three (3) persons from each project may attend the annual meeting using grant funds. The 2005 meeting is expected to be held in mid-October 2005.

4. Application Screening Criteria

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, May 27, 2005, or hand-delivered by 5:30 p.m. Eastern Time, on May 27, 2005, or submitted electronically by midnight, May 27, 2005.

b. Organizational Eligibility

Awards will be made to agencies of State Governments. The applicant agency is encouraged to have the support and active involvement of the Single State Agency on Aging. Only one application per State will be funded; however, multiple state and local agencies are encouraged to collaborate in planning and carrying out the project.

All States, except those who will be receiving ADDGS funds as of July 1, 2005, are eligible to apply. As stated in the eligible applicants section, **priority is given to States that have not previously been funded under this program.**

c. Project Narrative

The Project Narrative must be double-spaced, on single-sided 8 ½” x 11” plain white paper with 1” margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. AoA will not accept applications with a Project Narrative that exceeds 20 pages, excluding the Project Work Plan Grid. NOTE: The Project Work Plan Grid, Letters of Cooperation, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections noted above are included in the limit, including Sections, 1 through 8, and Section 10 except for the Vitae.

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

Application materials can be obtained from
<http://www.aoa.gov/doingbus/fundopp/fundopp.asp> or <http://www.grants.gov>.

Application kits are also available by writing to:

U.S. Department of Health and Human Services
Administration on Aging
Lori Stalbaum
Center for Wellness & Community-Based Services
Washington, D.C. 20201

Or by calling: 202-357-3452.

AoA encourages applicants to submit proposals electronically, however, you may submit your application to us either in electronic or paper format. To submit an application electronically, please use the www.Grants.gov website. If you use Grants.gov, you will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the *Grants.gov* website. 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:

- Although voluntary, electronic submission is encouraged.
- When entering the Grants.gov website, 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 the application due date to begin the application process through Grants.gov.
- To use Grants.gov, you, as the applicant, must have a D-U-N-S 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 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 the downloadable application page by the CFDA number (93.051).

2. Content and Form of Application Submission

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:
https://www.whitehouse.gov/omb/grants/duns_num_guide.pdf.

1. Project Narrative

The Project Narrative section of the application must **not** exceed 20 pages. NOTE: The Project Work Plan, Letters of Cooperation, and Vitae of Key Project Personnel **are not counted** as part of the Project Narrative for purposes of the 20-page limit. The components counted as part of the 20 page limit include:

- ❑ Summary/Abstract
- ❑ Problem Statement
- ❑ Goal(s) and Objective(s)
- ❑ Proposed Intervention
- ❑ Special Target Populations and Organizations
- ❑ Outcomes
- ❑ Project Management
- ❑ Evaluation
- ❑ Dissemination
- ❑ Organizational Capability
- ❑ Application Survey Form

The Project Narrative is the most important part of the application, since it will be used as the primary basis by AoA to determine whether or not your project meets the minimum requirements for grants under Sec. 398 of the Public Health Service Act (42 U.S.C. 398 et seq.), as amended by Public Law 101-157 and by 105-379, the Health Professions Education Partnerships Act of 1998.

Special Requirements of the Alzheimer's Demonstration Program

The statute governing the ADDGS program states, "the State agrees to expend not less than 50 percent of the grant for the provision of [direct] services" to persons with Alzheimer's disease and their families. [EXAMPLE: if a State receives \$300,000 in Federal grant funds in their first project year, the State match would be 25% or \$100,000, therefore, first year funds available would be \$400,000. Of this \$400,000, the State would be expected to spend not less than \$150,000 (1/2 of the federal grant amount of \$300,000) on the provision of direct services.]

Those services which are listed as "direct services" in the program's statute are: "...home health care, personal care, [adult] day care, companion services, short-term care in health facilities, and other respite care to individuals with Alzheimer's disease or related disorders that are living in single family homes or congregate settings."

Also, keep in mind **that no more than 10% of the overall project can be spent on administrative costs**. This is required by statute. AoA encourages states to maximize all resources and keep administrative costs as low as possible.

Proposals cannot be funded if they do not meet the minimum 50% in provision of direct service (see example above) and if they exceed the 10% administrative costs (see example below) requirements. For the purpose of this program only, administrative functions are those that are necessary but adjunct to the work being conducted to achieve of the project goals and work plan objectives.

For Example: If the project has goals and activities related to systems change, and one of the strategies in the work plan is to establish a committee of various community and public stakeholders that collaborate in a variety of ways to create, maintain, & support systems change, then the staff time necessary to coordinate, staff, and manage that committee, including related supply and travel expenses for committee members, is **not** an administrative function.

The project director's behind the scenes work, however, such as shepherding a contract through the state procurement process, personnel management functions, etc., **are** considered administrative costs. While these functions are necessary to achieve the overall project goals, they are additional (administrative) activities being conducted as part of the work plan.

The Project Narrative should provide a **clear and concise** description of your project. AoA recommends that your project narrative include the following components:

Summary/Abstract. This section should include a brief - no more than 180 words maximum - description of the proposed project, including: the goal, the list of objectives and the products to be developed. Detailed instructions for completing the

summary/abstract are included in the appendix of this document.

Problem Statement. This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect the elderly population and/or their caregivers (including specific subgroups within those populations), and possibly the health care and social services systems (e.g., the use of health care and/or nursing home services.) (Suggested Length and Format: two to four paragraphs.)

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. (Suggested Length and Format: Preferably, include this information in the attached project work plan grid; alternatively, use a bulleted format or describe in one paragraph.)

Proposed Intervention. This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in section 2. You should also describe the rationale for using the particular intervention, including factors such as: “lessons learned” for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the “right conditions” for the intervention (e.g., existing social, economic or political factors that you’ll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, funders, and/or consumer groups. (Suggested Length and Format: Four to six paragraphs.)

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

Outcomes. This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. (NOTE: AoA will not fund any project that does not include measurable outcomes - 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.) (Suggested Length and Format: For your measurable outcomes: preferably list them in the attached work plan grid; alternatively, present them in bullet format; if presented in narrative format – one paragraph. For the description of how the project might benefit the field at large: use one to three paragraphs.) You should keep the focus on this section on describing what outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe how the outcome(s) will be measured and reported.

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

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

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

Dissemination. This section should describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to 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. (Suggested Length – three to five 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 how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. 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 project and achieving project goals.

Work Plan. The Project Work Plan should reflect and be consistent with the Project Narrative and Budget. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify the timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. A Sample Work Plan format for your use is included in the Attachments. (Suggested Length and Format: use the sample grid; alternatively, not more than two pages preferably presented in bulleted format.)

Letters of Commitment from Key Participating Organizations and Agencies.

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

2. Required Project Narrative Format and Length

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

Instructions for completing the Budget (SF424A) and Budget Justification

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

a. Standard Form 424

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 – 93.051
- Item 11. Enter the title of the project.
- 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 is 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 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 considered 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.

NOTE: **Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.

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 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this AoA program, many of the budget item columns and rows are not applicable. For your convenience, these non-applicable columns and rows have been shaded-out on the form. You should only consider and respond to the budget items for which guidance is provided below.

Section A - Budget Summary

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

Section B - Budget Categories

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

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

Column 5: Enter the total funds required for the project (the sum of Columns 3 and 4) by object class category.

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.

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

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

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

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

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

Line 6f: Contractual: Enter the total costs of all contracts, including (1) procurement

contracts (except those, which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. In the 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.

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

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

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

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

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

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.

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

Line 7: Program Income: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). Note: Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, do not include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Do not include program income unless it is used to meet the match requirement. Keep in mind that if program income used to meet the match requirement and the projected level of program income is not met, thereby decreasing the level of match, the amount of federal funds available to the grantee may be reduced if the match falls below required levels.

Section D - Forecasted Cash Needs - Not applicable.

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

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

Section F - Other Budget Information

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

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

c. Standard Form 424B - Assurances

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

d. AoA Certification

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.

e. Other Application Components

Survey on Ensuring Equal Opportunity for Applicants

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

Proof of Non-Profit Status – Not Applicable

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.

3. Submission Dates and Times

The deadline for the submission of applications under this program announcement is May 27, 2005. Applications must be: submitted electronically by midnight, May 27, 2005; postmarked by midnight, May 27, 2005; or hand-delivered by 5:30 p.m. Eastern Time, on May 27, 2005, or.

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 with their application package, will receive confirmation of their application receipt from AoA.

Applicants applying through Grants.gov will automatically receive 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 to 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 from 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.

4. Intergovernmental Review

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

5. Funding Restrictions

The following activities are not fundable activities:

- Construction and / or major rehabilitation of buildings
- Basic research (e.g. scientific or medical experiments)
- 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.

6. Other Submission Requirements

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 A. 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 20201
Attention: Margaret A. Tolson

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.

For applicants submitting their application through grants.gov, you will be required to register in the Central Contractor Registry (CCR) database in order to be able to submit the

application. (One element of the CCR is the DUNS number (see section 2), which must be obtained separately from CCR registration. Information about CCR is available at <http://www.grants.gov/CCRRegister> . You must also register with a Credential Provider to receive a username and password to securely submit your grant application. Information is available at <http://www.grants.gov/CredentialProvider> .

V. APPLICATION REVIEW INFORMATION

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

- Purpose and Need for Assistance (10 points);
- Approach/Method – Workplan and Activities (40 points);
- Outcomes/Benefits/Impacts (25 points); and
- Level of Effort, Program Management, Organizational Capacity (25 points).

1. *Criteria*

A. Purpose and Need for Assistance

Weight: 10 points

- Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? Are gaps in state systems of home and community-based care to AD patients and their family caregivers adequately identified and addressed? **(5 points)**
- Does the application adequately and appropriately describe and document the key problem(s)/ condition(s) relevant to its purpose? Does the applicant adequately and appropriately describe the needs of the targeted special population groups, i.e. low income, minority, and rural, and in identified system gaps when addressing problem(s)/condition(s) relevant to its proposal? **(5 points)**

B. Approach/Method – Work plan and Activities

Weight: 40 points

- Does the proposed project adequately show that evidence-based scientific research findings were used to inform project design, including the delivery of direct services? **(7 points)**
- Does the proposed project effectively utilize a coordinated, collaborative approach, including partnerships with aging network agencies (state and area agencies on aging and providers), health care staff, community organizations that work directly with persons with AD, and other appropriate entities? Are activities included in the work plan to engage and collaborate with state and local agencies and faith-based and dementia care organizations on crosscutting policy and service delivery issues? Are the proposed activities appropriate given the project goals and objectives? **(7 points)**
- Does the applicant present a well-organized work plan that systematically includes specific goals, objectives, activities and implementation strategies that are responsive

- to the applicant's statement of needs and purpose? Are plans in sufficient detail to provide an understanding of the entire project's intended outcomes? **(10 points)**
- Has the applicant adequately described their plan for the delivery of direct services for persons with Alzheimer's disease and their families? Are activities in the work plan, including those provided by contractors, adequate and appropriate to achieve direct service objectives? **(8 points)**
 - Has the applicant targeted at least one of the preferred target populations (i.e. ethnic minorities, low-income or rural persons with Alzheimer's disease and their families) AND are the proposed activities and collaborators adequate and appropriate for reaching the targeted population(s)? **(5 points)**
 - 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? **(3 points)**

C. Outcomes/Benefits/ Impact

Weight: 25 points

- Are the expected project outcomes measurable and clearly identified, realistic, and consistent with the objectives of the project? Will the outcomes enable the State to make significant progress, in relation to current state policy and programs, in meeting the needs and preferences of persons with Alzheimer's Disease and their family caregivers? **(15 points)**
- Does the proposal include a plan for dissemination that is likely to increase the awareness of project activities and events during project performance? **(3 points)**
- Is the long-term viability of the project discussed? And, in the case of three-year applicants, is the **extent of progress** a state expects to make under this grant in advancing state system changes reasonable and realistic given the states existing system? Does the proposal include a plan for streamlining access and linkages to services (i.e., Aging & Disability Resource Centers and the National Family Caregiver Support Program) as well as other systems change programs in which the state is currently participating? **(7 points)**

D. Level of Effort, Program Management & Organizational Capacity

Weight: 25 points

- Does the applicant have an established track record of collaboration among a variety of local, state, and federal agencies and organizations, including those that are a part of this project? Are letters from key participating organizations included 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)**
- Are the roles and contribution of staff, consultants, and collaborative organizations clearly defined and linked to specific objects and tasks? Do the proposed project

director(s), key staff, and consultants have the background, experience, and other qualifications required to carry out their designated roles? **Is 25% of the Project Director's time allocated to this project?** Are the writers of the proposal identified and will they be involved in the project's management and implementation? If not, is there a logical explanation for their non-participation? **(5 points)**

- Does the proposal provide adequate programmatic and logistical support at the state and local levels to ensure successful implementation of the project's goals and objectives? Does the Project Director have a significant level of effort in providing state oversight of community based direct service activities? Are tasks and services provided by contractors clearly spelled out in the program narrative and budget justification? **(5 points)**
- Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with and tied to the work plan objectives? **(10 points)**
 1. Is at least 50% of the total federal grant allocated to direct services as defined in Program Scope of this announcement?
 2. Are administrative costs under 10% of the total grant?

2. *Review and Selection Process*

An independent review panel of at least three individuals will evaluate applications that pass the screening. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations as outlined under "Requirement 1" and "Requirement 2," section I, Funding Opportunity Description, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria identified above.

Final award decisions will be made by the Assistant Secretary for Aging (ASA). In making these decisions, the ASA will take into consideration: recommendations of the review panel; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and the likelihood that the proposed project will result in the benefits expected. Based on specific programmatic funding considerations as detailed under "Eligible Applicants," section III, preference will be given to States that have not previously been funded through this program.

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

VI. AWARD ADMINISTRATION INFORMATION

1. *Award Notices*

Successful applicants will receive an Approval letter, and a Notice of Financial Assistance Award. 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. Unsuccessful applicants are notified 30 days after successful applicants and will receive a disapproval letter.

2. *Administrative and National Policy Requirements*

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

3. *Reporting*

An original and one copy of the SF-269 (Financial Status Report) and the AoA program progress report are due semi-annually. Awardees will receive a copy of the required program progress report form with their Notice of Financial Assistance Award. 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 CONTACTS

Project Officer:

U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Lori Stalbaum
Telephone: (202) 357-3452, e-mail: Lori.Stalbaum@aoa.hhs.gov

Grants Management Officer:

U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Margaret Tolson
Telephone: (202) 357-3440, e-mail: 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 –N/A
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
12. “Survey on Ensuring Equal Opportunity for Applicants” (Optional non-profit applicants)

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

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

The project description and budget justification is approved under OMB control number 0985-0018 which expires on 3/31/07.

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

ATTACHMENTS

**Attachment A:
Application Package Checklist**

**Attachment B:
Budget Justification Format – Sample Format with
Examples**

**Attachment C:
Budget Justification – Sample Format**

**Attachment D:
Project Work Plan - Sample Format**

**Attachment E:
Instructions for Completing the Summary/Abstract**

**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 (NOT applicable)
- A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency. (if applicable)
- Project Narrative, including Summary/Abstract
- Completed Grant Application Package Checklist
- Receipt of Application Acknowledgement Card (Optional)
- “Survey on Ensuring Equal Opportunity for Applicants” (non-profit applicants only)

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	<u>TOTAL</u>	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
TOTAL	\$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 not infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Attachment E

Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary / Abstract that concisely describes the proposed project. It should be written for the general public.
- 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 3-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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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