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SMP

Senior Medicare Patrol Projects

Program Announcement and Grant Application Instructions

U.S. Administration on Aging

2008

Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center: The Center for Program Operations

Funding Opportunity Title: SMP Projects

Announcement Type: Initial

Funding Opportunity Number: HHS-2008-AOA-MP-0806

Catalog of Federal Domestic Assistance (CFDA) Number: 93.048

Key Dates: The deadline for receipt of all applications is midnight April 11, 2008. Each application must clearly indicate eligible State or District where competing and without exception must be submitted and confirmed by the deadline through grants.gov.

Prospective applicants should email a short notice of intent to apply to Barbara.lewis@aoa.hhs.gov no later than two weeks prior to the deadline.

Executive Summary:

AoA currently funds 57 Senior Medicare Patrol (SMP) Projects which recruit retired professionals as volunteers to educate beneficiaries and older consumers in their communities on how to prevent, detect and report health care fraud, error and abuse. Currently SMPs operate in 50 states, the District of Columbia, Puerto Rico, Guam and the U.S. Virgin Islands.

Under this competition, up to twenty-six cooperative agreements will be funded at a federal share of up to $180,000 per year and a project period of up to three years, contingent upon the availability of federal funds in the following eligible states and District: Alaska, Arizona, Arkansas, Colorado, Delaware, the District of Columbia, Florida, Georgia, Idaho, Kansas, Kentucky, Maine, Massachusetts, Michigan, Montana, New Jersey, New Mexico, Ohio, Oklahoma, Oregon, Puerto Rico, Tennessee, Texas, Virginia, Washington, and West Virginia.

To ensure that limited OAA funding for this program is most effectively used to maximize national program coverage, it is necessary to limit the number of SMP grantees to one (1) per state, district or territory. By eliminating duplicative or overlapping awards to more than one organization within a state, AoA not only maximizes national program coverage, but ensures greater equity in allocation of SMP services to elders irrespective of their state of residence. States not listed are currently served by SMP projects awarded through 2009.

Applicants for the 2008 award must provide a comprehensive collaborative plan for statewide SMP program coverage which targets isolated and hard-to-reach, and other vulnerable populations within their state. No more than one project grant will be awarded for program activities within each single eligible state or district. Applicants may apply to operate a project in more than one State or the District by submitting separate applications that clearly indicate the name of each such state or district.

Successful applicants are anticipated to be able to conduct a District or state-wide SMP project targeting vulnerable/hard to reach populations, based on the evaluation criteria.

The award is a cooperative agreement because the Administration on Aging will be substantially involved in the development and execution of the activities of the projects. AoA's National Consumer Protection Technical Resource Center (Center) will provide training and technical assistance necessary to ensure effective project operations, including the SMP web-based data collection management tracking system. AoA and the Center will provide a mentoring program for new grantees sufficient to understand the goals and objectives of the program and current fraud alerts. AoA will conduct a required national or regional training conference annually for SMP projects, to share best practices, recognize outstanding volunteers, and promote collaborations with other Federal agencies. Workshops will be held to ensure consistent reporting of project performance outcomes to the HHS Office of Inspector General (OIG), the annual Health Care Fraud & Abuse Control (HCFAC) report or other entities as required.

Applicants must cover at least twenty five per cent (25 %) of the project's total cost with non-Federal resources.

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

I. FUNDING OPPORTUNITY DESCRIPTION

Program History

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

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

SMP Program Today

In 2008, the SMP Program will include an estimated 54 project grants in all states, the District of Columbia, Puerto Rico, Guam and the U.S. Virgin Islands. SMP projects have made great progress in recruiting and training retired professionals and other senior citizens on Medicare and Medicaid error, fraud and abuse. These volunteers work in their communities, senior centers and elsewhere to educate Medicare and Medicaid beneficiaries, family members, and caregivers to actively protect themselves against fraudulent, wasteful and abusive health care practices by reviewing their Medicare benefit statements and reporting suspected errors.

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

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

In 2004, AoA announced a new competitive grant program to support SMP project efforts to advance collaborative and innovative approaches for integration of Medicare and Medicaid fraud awareness and prevention activities within states and communities. A second round of SMP Integration Grants were awarded in 2006. At that time, fifteen grants were awarded that support the SMP projects' efforts to further integrate the SMP program into Medicaid fraud awareness and targeted minority, hard-to-reach, and non-

English speaking populations. Innovative approaches developed by grantees are disseminated through the Center and are available for review by applicants under this announcement at www.smpresource.org.

Semiannually, the HHS Office of Inspector General (OIG) collects data submitted by grantees through SMARTFACTS on the activities and performance results of the program. Since the program's inception, SMP project efforts have resulted in:

Performance Data Since 1997

- $105.2 million in savings attributable to SMP project
- Over 18 million people reached during community education events
- Almost 2.9 million beneficiaries educated
- Over 68,000 volunteers trained
- Close to 87,000 complaints received as a result of outreach and educational efforts

Project Objectives and Activities

The goal of SMP Projects is to empower beneficiaries/consumers to prevent health care fraud through outreach and education. Program coverage must target vulnerable, hard-to-reach population beneficiaries, their families and other consumers. The purpose of this competition is to provide the opportunity to fund one (1) SMP Project in each of 26 eligible states including the District of Columbia for a project period of up to three (3) years.

Applicants under this announcement are required to design and implement strategies to address each of the following SMP Strategic Program Objectives:

- *Foster National and Statewide Program Coverage.* Applicants must provide a comprehensive plan with appropriate strategies to achieve statewide coverage. This plan is required of all applicants, whether they be statewide entities, regional, area or local organizations. Statewide program coverage is defined for this purpose as service to each county within the state or in the District each ward. Types and levels of service shall be specified as well as strategies or approaches by which statewide coverage will be achieved and enhanced. Examples of appropriate strategies that may be used to ensure statewide program coverage include collaboration with organizations representative or knowledgeable about of the target population, formal partnering, sub-granting or contracting with other area, regional or statewide organizations, toll-free lines, web sites and web-based strategies, and statewide media and outreach plans.

- *Improve beneficiary education and inquiry resolution for other areas of health care fraud.* Applicants must provide a plan, with specific performance goals and measures, for increasing SMP program coverage to at least one of these other areas of health care fraud: Medicaid, Durable Medical Equipment (DME), or home health care. Plans must also include specific strategies to partner with one or more health care organizations at the state level to leverage other resources in support of expanded program coverage to the other area(s) of health care fraud (Ex., Medicaid Fraud Control Unit, Home Health Care Association, Discharge Planners, etc.).

- *Foster national program visibility and consistency.* To enhance the capability of AoA's Aging and Disability Resource Centers (ADRC) to identify and refer instances of potential health care fraud to the SMP project, applicants are required to provide an approach for collaboration with the ADRC(s) in their state, as well as other community-based service providers in their states and communities. In addition, to ensure the seamless, consistent reporting of SMP performance outcomes to the OIG semiannually, applicants must demonstrate capacity to fully implement a web-based data collection and reporting system, ensuring program activities, including simple inquiries, outreach and education, volunteer management and complex issues are accurately recorded and tracked in a timely manner.

- *Improve the efficiency of the SMP program while increasing results for both operational and quality measures.* AoA plans to utilize its SMARTFACTS system to collect data, track, assess, and measure program performance. In addition, AoA will use data to assess SMP project progress in reaching SMP Strategic Program Objectives, including activities, populations served, and quality of grantee program efforts. Hence, applicant plans must reflect priorities, activities and staff/system capacity to capture project performance data. The plan must also address how project performance relative to the following SMP program measures (at a minimum) will be tracked, assessed and increased:

    1. The numbers of elderly beneficiaries educated,

    2. Inquiries and the rate of inquiry resolution, and

    3. Medicare, Medicaid or other savings.

- *Target training and education to isolated and hard -to -reach populations.* The Older Americans Act requires that program services target low-income, vulnerable populations that are traditionally underserved due to isolation, ethnic, cultural, language barriers, or other factors. Applicants are required to identify specific target populations within the state, and provide a plan to reach these target populations through innovative and collaborative methods. Signed letters of collaboration from organizations representing the target population must accompany your application and include the kind and level of support offered, e.g., facilities, volunteers or funds. Interventions to reach the state's target population should reflect one or more innovative outreach strategies, such as those developed by the SMP Integration grantees. (See www.smpresource.org or http://www.aoa.gov/doingbus/comp/comp.asp for applicable information.) Applicants must provide plans for evaluation of the success of targeting plans in achieving program goals through analysis of program data provided through use of a web-based management, tracking and reporting system.

To advance the above objectives, applications are sought from consortia of state, area or local, public or nonprofit agencies and organizations, including Indian tribal governments, faith-based organizations and community organizations, with a demonstrated capacity to utilize effective models for the recruitment, training, support, and retention of retired persons who, with appropriate training, could provide volunteer service as expert resources and educators for older persons in their communities. **Applicants must demonstrate the level of collaboration (s) with signed letters from organizations representing the target population(s) and assign key tasks in the project's state wide work plan to these organizations.** All applicants should demonstrate their capacity and experience in using quantitative performance outcome information to support their activity and management decisions.

Projects should utilize best practice models and test innovative approaches for recruiting retirees fully capable of teaching and educating Medicare and Medicaid beneficiaries to better monitor payments on their behalf and recommend actions to address identified discrepancies. In every case, applicants should propose activities that will effectively employ the unique skills, varied experiences, good will, and availability of retired professionals in assisting older persons to become more educated about their health care expenditures under Medicare and Medicaid. As beneficiaries, citizens, and taxpayers, older persons can and should have the knowledge necessary to assess their health care bills, statements, and other documents accurately and to identify and report suspected instances of error, fraud, and abuse. Examples of practices deserving their careful scrutiny include: billing for services not rendered; overcharging for services performed; waiving patient coinsurance; accepting or paying kickbacks for patient referrals; offers of motorized and durable medical equipment; and providing inappropriate or unnecessary services.

The applicant must provide a detailed plan for the management and operation of the SMP Project. This includes:

- developing a systematic plan for project start-up;
- providing a comprehensive plan for statewide program coverage that identifies national, state-wide and community-based collaborations and innovations designed to address and reach the targeted populations;
- involving a variety of community-based, local, state and federally-financed aging network services organizations including ADRCs;
- developing formal partnerships, collaborations and other arrangements as needed to address state-wide SMP Program Objectives;
- researching the demographics of the population to be served, and identifying barriers to program access;
- developing outreach strategies specifically designed to overcome these barriers and reach the target population, utilizing SMP Integration strategies, as appropriate;

- identifying a specific strategy for recruiting, training, and maintaining a pool of SMP volunteers, including seniors with language and other skills and abilities to help reach minority communities;

- developing a training plan for staff and volunteers sufficient to conduct effective group and one-on-one educational efforts, respond to inquiries, and make necessary referrals for action, tailored for the target populations and achieving program objectives;

- developing outreach strategies and priority areas for current coverage and Medicaid, DME or home health care fraud education based on assessment of trends, issues and cases identified within the statewide service area; and

- developing a plan to evaluate project performance, including full and accurate web-based collection and reporting of program activities as required by AoA or the OIG. (The successful applicant will be trained and required to use the AoA SMARTFACTS system.)

Statutory Authority:

The statutory authority for grants under this program announcement is contained in Title IV and Title II, of the Older Americans Act, (42 U.S.C. 3032), as amended by the Older Americans Act Amendments of 2006 P.L. 109-365 (Catalog of Federal Domestic Assistance 93.048, Title IV Discretionary Projects) and the HIPAA of 1996 (P.L.104-191).

II. AWARD INFORMATION

Award Type:	cooperative agreement
Estimated Federal Funds Available:	$4.6 million
Individual Annual Award Ceiling:	$180,000
Estimated Number of Awards:	up to 26
Project Start Date:	June 1, 2008
Estimated Length of Project:	up to three years

The award is a cooperative agreement because the Administration on Aging will be substantially involved in the development and monitoring of the activities of the projects. AoA will negotiate the terms of each agreement with the grantee within 45 days of the effective date of the award. The agreement may be amended for cause by mutual consent at any time and with the signature of both parties. The anticipated agreement will read:

The **Grantee** agrees to carry out the objectives and activities of the project announced as the **Senior Medicare Patrol Project**. The **Grantee** will demonstrate the effectiveness of recruiting and training retired professionals to teach and educate Medicare/Medicaid beneficiaries how to better monitor what is paid on their behalf, and what to do about identified discrepancies. The **Grantee** will provide a work plan which includes appropriate strategies and activities to achieve announced SMP Program Objectives:

- *Foster National and Statewide Program Coverage.*
- *Improve beneficiary education and inquiry resolution for other areas of health care fraud.*
- *Foster national program visibility and consistency*.
- *Improve the efficiency of the SMP Program while increasing results for both operational and quality measures.* **Grantees** will ensure program efforts are focused toward achieving the following desired program results:

    1. Increase the numbers of elderly individuals educated;
    2. Increase the inquiries to the project and the rate of inquiry resolution; and
    3. Increase Medicare, Medicaid or other health care savings.

- *Target training and education to isolated and hard -to -reach populations*.

In addition to ensuring the Grantee's plan and activities address the above SMP Program Objectives, it is further agreed that:

1. The **Grantee** will form a consortium of community-based agencies representative of the target population to assist in planning, expansion and implementing the project while working in close partnership with an interdisciplinary team of federal, state, and local resources, including representatives from the Administration on Aging (AoA), the Office of Inspector General (OIG), the Centers for Medicare & Medicaid Services (CMS), including the Program Safeguard Contractors or Medicare Fraud Information Specialists (MFIS), and State Quality Improvement Organizations. In addition the Grantee must coordinate with AoA's National Consumer Protection Technical Resource Center "the Center" for assistance regarding successful models for program integration, evaluation and dissemination efforts.

2. The **Grantee** will recruit, train, and place retired individuals statewide in a variety of communities and settings to provide public education and outreach to older persons and their families, including an emphasis on reaching the underserved, vulnerable, isolated, and non-English-speaking beneficiaries.

3. The **Grantee** will participate in at least one technical assistance/resource exchange conference annually. In addition, new project directors must be referred to the Center within two-weeks of appointment to receive SMP project orientation and toolkits.

4. The **Grantee** will maintain a record of important *events by county or jurisdiction* (e.g. meetings of collaborating organizations, media coverage of the project) and activities (e.g. training sessions, seniors reporting fraud, error, and abuse). The record summary will be included in semiannual progress reports to the Administration on Aging. Upon implementation of the SMP SMART FACTS system, data will be input and retrieved in accordance with AoA guidelines and training.

5. The **Grantee** will participate in a variety of project evaluations conducted by the Center, utilizing the SMART FACTS system developed by AoA and or the HHS

Office of Inspector General (OIG), including reporting outputs and outcomes to the OIG semiannually. Grantees are expected to keep project activity data current in this system to facilitate AoA, Center and OIG evaluation of project performance. The **Grantee** will work with the AoA project officer to evaluate performance results reported semiannually and jointly develop strategies to address those areas requiring improvement.

6. The **Grantee** will provide at least two hard copies of all materials produced, and participate in AoA's system for posting materials electronically on its anti-fraud and abuse web page (smpresource.org) in order to facilitate the sharing of resources.

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

1. The Administration on Aging and the **Grantee** will work cooperatively to clarify the issues to be addressed by the project and develop the work plan for each year of the project. Within 45 days of the award and 45 days of each continuation award, the **Grantee** will agree upon and adhere to a work plan that details activities to achieve SMP objectives, target underserved populations and produce the performance measures herein indicated for the current budget period. The work plan will also include strategies for statewide coverage, timelines, staff /collaborator assignments, work locations, and areas that require Administration on Aging consultation, review, and/or prior approval.

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

3. The Administration on Aging will, if possible, be represented at meetings of the project's steering/advisory/policy committee.

4. The Administration on Aging will be provided a period of three weeks, prior to their release and/or publication, to review and comment upon all materials, reports, documents, etc. produced by the project with funds provided through this award. After the three week review and comment period, the project is free to make such materials public, using the following disclaimer:

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

5. The Administration on Aging has established the Center to enhance the effectiveness of the Senior Medicare Patrol projects' efforts to meet Administration on Aging and

Senior Medicare Patrol program strategic objectives, by providing informational resources, technical assistance and support to the projects. In addition, the Center will provide technical support, share successful models, products or practices, and share information with the project about other federally sponsored projects and activities carried out under this program.

6. The Administration on Aging will define project performance criteria and expectations and will use data recorded in the SMART FACTS system to monitor and evaluate grantee performance. AoA will provide support, in coordination with the Center, for projects' efforts in improving performance. The project period is for 36 months beginning June 1, 2008.

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

1) The extent to which the project achieves statewide coverage and improves the efficiency of the program by increasing both operational and performance measures (e.g., increase the numbers of targeted elderly educated, inquiries received/ resolved and attributable program savings.)

2) The quality and effectiveness of the **Grantee's** work in fulfilling the objectives and action steps in the approved work plan.

3) The management, tracking and reporting of project objectives, measures and activities requested on behalf of AoA or the Center and the use of the SMART-FACTS system to report these results once it is implemented.

Requests to modify or amend this Cooperative Agreement or the work plan may be made by either party at any time. Any modifications and/or amendments in accordance with the Terms and Conditions attached shall be effective upon the mutual agreement of both parties.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

Domestic public or private and non-profit entities including state, local and Indian tribal governments (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply.

Through this competition, AoA plans to fund one project in each of the following 26 states and the District of Columbia: Alaska, Arizona, Arkansas, Colorado, Delaware, the District of Columbia, Florida, Georgia, Idaho, Kansas, Kentucky, Maine, Massachusetts, Michigan, Montana, New Jersey, New Mexico, Ohio, Oklahoma, Oregon, Puerto Rico, Tennessee, Texas, Virginia, Washington, and

West Virginia.

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

The Administration on Aging (AoA) envisions the SMP program as the nationally recognized leader in prevention and identification of fraud and abuse in health care programs that affect the lives of elderly consumers. To achieve this vision, AoA has developed SMP Strategic Program Objectives, including *Objective #1*: *Foster national and statewide program coverage*. One strategy to achieve Objective #1 is to maximize opportunities to ensure that the SMP program is available to educate seniors in every U.S. state, district and territory. To ensure that limited OAA funding for this program is most effectively used to maximize national program coverage, it is necessary to limit the number of SMP grantees to one (1) per state, district or territory. By eliminating duplicative or overlapping awards to more than one organization within a state, AoA not only maximizes national program coverage, but ensures greater equity in allocation of SMP services to elders irrespective of their state of residence. The AoA is currently funding SMP projects in the remaining states, Puerto Rico, Guam and the US Virgin Islands, which are estimated to end May 31, 2009.

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

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

2. Demonstrated experience in working with state aging agencies and community based aging service providers;

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

4. Organizational capacity to provide state wide program coverage.

2. Cost Sharing or Matching

Under this Older Americans Act (OAA) program, AoA will fund no more than 75% of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar in non-federal resources toward the project's total cost. This "three-to-one" ratio is reflected in the formula included under Item 18 in Attachment A. You can use this formula to calculate your minimum required match. A common error applicants make is to match 25% of the federal share, rather than 25% of the project's total cost. Please note applications with a match greater than the minimum required will **not** receive additional consideration under the review. Match is not one of the responsiveness criteria as noted in Section III, 3 Application Screening Criteria.

3. Application Screening Criteria

All applications will be screened to assure a level playing field for all applicants. Applications that fail to meet the three screening criteria described below will **not** be reviewed and will receive **no** further consideration.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be submitted electronically via www.grants.gov by midnight April 11, 2008.

2. The Project Narrative section of the Application must be double-spaced, on 8 ½" x 11" plain white paper with 1" margins on both sides, and a font size of not less than 11.

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

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

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

Application materials are also available by writing to:

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

Or by calling: 202-357-3532
Or e-mailing: Barbara.Lewis@aoa.hhs.gov

Please note AoA is requiring applications for all announcements to be submitted electronically through www.grants.gov. The Grants.gov registration process can take several days. If your organization is not currently registered with www.grants.gov, please begin this process immediately. **For assistance with www.grants.gov, please contact them at** support@grants.gov **or 1-800-518-4726 between 7 a.m. and 9 p.m. Eastern**

Time. At www.grants.gov, you will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website.

Applications submitted via www.grants.gov :

- You may access the electronic application for this program on www.Grants.gov. You must search the downloadable application page by the Funding Opportunity Number (HHS-2008-AOA-MP-0806) or CFDA number (93.048).
- At the www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. AoA strongly recommends that you do not wait until the application due date to begin the application process through www.grants.gov because of the time delay.
- All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and register in the Central Contractor Registry (CCR). You should allow a minimum of **five days** to complete the CCR registration.
- You must 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 www.grants.gov that contains a Grants.gov tracking number. The Administration on Aging will retrieve your application form from Grants.gov.
- Each year organizations registered to apply for federal grants through www.grants.gov will need to renew their registration with the Central Contractor Registry (CCR). You can register with the CCR online and it will take about 30 minutes (http://www.ccr.gov).

2. Content and Form of Application Submission

a. Letter of Intent

Applicants are requested, but not required, to submit a letter of intent to apply for this funding opportunity to assist AoA in planning for the application independent review process. The time frame for submission of the letter of intent (Email to: Barbara.Lewis@aoa.hhs.gov) is two weeks prior to the deadline for application.

b. 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 DUNS number is *free and easy* to obtain.

Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link: https://www.whitehouse.gov/omb/grants/duns_num_guide.pdf**.**

c. Project Narrative

The Project Narrative must be double-spaced, on 8 ½" x 11" paper with 1" margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. AoA will not accept applications with a Project Narrative that exceeds 20 pages. The Project Work Plan, Letters of 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 below are included in the 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

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether or not your project meets the minimum requirements for grants under Title IV of the Older Americans Act. The Project Narrative should provide a **clear and concise** description of your project. AoA recommends that your project narrative include the following components:

Summary/Abstract. This section should include a one page-300 words maximum - description of the proposed project, including: overall approach, target population, activities, products and measurable outcomes. Detailed instructions for completing the summary/abstract are included in Attachment E of this document.

Problem Statement. This section should describe, in both quantitative and qualitative terms, the nature and scope of health care fraud control problems or issue within the state or district focusing on hard-to-reach beneficiaries, caregivers and other consumers. Describe the barriers that exist in reaching the target populations (s), and the challenges in ensuring that the SMP project reaches beneficiaries state or district-wide. Demonstrate the challenges that exist in working with state aging agencies, volunteers and community based aging service providers to achieve program objectives.

Project Objectives. This section should briefly discuss how the project will address each of the five (5) SMP Strategic Program Objectives listed in this announcement in terms of the overall mission to recruit volunteers, educate beneficiaries, caregivers and their families to detect and report health care fraud.

Proposed Intervention. This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in the "Problem Statement". You should also describe the rationale for using the particular intervention, including factors such as: "lessons learned" for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the "right conditions" for the intervention (e.g., existing social, economic or political factors that you'll be able to take advantage of, etc.). Indicate how your project will be able to overcome those barriers discussed in the "Problem Statement" in reaching target populations and in ensuring that the SMP project reaches beneficiaries state or district-wide. Describe how the proposed intervention will use strategic partnerships, collaborations and social services systems to achieve targeted and statewide program coverage. (e.g., the use of Aging Disability Resource Centers, SHIPs and or other Aging network services.)

Special Target Populations and Organizations. This section should describe how you plan to systematically involve community-based organizations experienced with the target population in the planning and implementation of the proposed statewide project. Specifically, your application should discuss proposed strategies for targeting minority and hard-to-reach populations, including low-income, rural, isolated, and limited English-speaking individuals. (Suggested length: one to two pages.)

Outcomes. This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. (NOTE: AoA will not fund any project that does not include measurable outcomes). This section should also describe how the project's findings might benefit the field at large, (e.g., how the findings could help other organizations throughout the nation to address the same or similar problems.) List measurable outcomes in the attached Work Plan Grid (Attachment D) under "Measurable Outcomes" in addition to any discussion included in the narrative along with a description of how the project might benefit the field at large. (Suggested Length: one to two pages.)

A "measurable outcome" is an observable end-result that describes how a particular intervention benefits consumers. Examples of outcomes include: Measurable increase of Medicare beneficiary awareness regarding health care error, fraud and abuse, as well as beneficiary behaviors that result in increased detection and reporting of errors, fraud and abuse. Examples of other outcomes measured by the OIG semiannually include number of volunteers conducting activities to educate beneficiaries, number of beneficiaries educated, number of complaints that resulted in some action, and savings attributable to the project. A measurable outcome is not a measurable "output", such as: the number of clients served; the number of training sessions held; or the number of service units provided.

You should keep the focus of this section on describing what outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe how the outcome(s) will be measured and reported. Your application will be scored on the clarity and nature of your proposed outcomes, not on the number of outcomes cited.

Project Management. This section should include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project's objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress, preparation of reports; and ability to implement a web-based data collection and reporting system; 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: one to two pages.)

Evaluation. This section should describe the method(s), techniques and tools that will be used to: 1) measure the success of the proposed intervention, products and practices in achieving anticipated outcomes; and 2) document project "lessons learned" (both positive and negative) that will be useful to other SMP projects interested in replicating the intervention. This section should also include a self-assessment of performance data and a plan for addressing those areas identified for improvement such as tracking outcomes and reporting performance semiannually. (Suggested Length: one to two pages.)

Dissemination. This section should describe the method that will be used to disseminate the project's successful products and practices in a timely manner and in easily understandable formats to the Center and other SMP projects or programs who might be interested in using these as models to improve practice, service delivery, program and partnership development. (Suggested Length: one to two pages.)

Organizational Capability Statement. Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. Technology capacity to operate a web-based data collection/reporting system and the capacity to operate a state-wide program should be included. This description should cover other capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Please attach short vitae for key project staff only. Neither vitas nor an organizational chart will count towards the narrative page limit. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

d. Work Plan. The project work plan should reflect and be consistent with the project narrative and budget. It should include a description of the major project activities that support each of the five (5) SMP Strategic Program Objectives, as well as the tasks and action steps that will be pursued to achieve the anticipated outcome(s). For each major task / action step, the work plan should identify the timeframes (including start- and end-dates), and the lead person/partner or collaborator responsible for completing the task. The work plan must clearly identify the actions and timetable to implement statewide program coverage. Please use the sample work plan format included in Attachment D. (Suggested Length and Format: use the sample grid; alternatively, not more than two pages preferably presented in bulleted format.)

e. 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. The signed letters of collaboration must specify the commitment, role, and resources/activities that will be provided in support of the applicant. **Strategies to reach targeted populations must be documented with letters of commitment that detail the specific role/function in support of the project's effort that will be played by the collaborating organization. The organization's expertise, experience, and access to the targeted population(s) should also be described in the letter of commitment.**

Signed letters of commitment should be scanned and included as attachments to the electronic application via Grants.gov. Applicants unable to scan the signed letters of commitment may fax them to the AoA Grants Management Office at 202-357-3466 by the application submission deadline. The Program Announcement number should appear at the top of each page faxed. Unsigned letters or letters without specifics as in the bolded paragraph above will not be considered.

f. Project Budget Narrative

The Budget Narrative should be provided using the format included as Attachment C of this Program Announcement. Applicants are encouraged to pay particular attention to Attachment B which provides an example of the level of detail sought. Please note that when more than 33% of project's budget falls under contractual, detailed budget narratives must be provided for each sub-contractor or sub-grant.

3. Submission Dates and Times

The deadline for the submission of applications under this program announcement is April 11, 2008. Applications must be submitted electronically by midnight on this date.

Applications that fail to meet the application due date will be returned without review and will receive **no** further consideration.

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

4. Intergovernmental Review

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

5. Funding Restrictions

The following activities are not fundable:

- Construction and/or major rehabilitation of buildings
- Basic research (e.g. scientific or medical experiments)
- Continuation of existing projects without expansion or new and innovative approaches

6. Other Submission Requirements

Letters of intent should be emailed to:

U.S. Department of Health and Human Services
Administration on Aging
Barbara Lewis, Office of Elder Rights
Washington, DC 20201
Barbara.Lewis@aoa.hhs.gov

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

Applicants must register in the Central Contractor Registry (CCR) database in order to be able to submit the application via www.grants.gov. One element of the CCR is the DUNS number (see section IV.2), which must be obtained separately from CCR registration. Information about CCR is available at http://www.ccr.gov. You must also register with the grants.gov credential service provider to receive a username and password to securely submit your grant application. Information is available at http://apply07.grants.gov/apply/OrcRegister.

V. APPLICATION REVIEW INFORMATION

1. Criteria

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

- Purpose and Need for Assistance - (20 points);
- Approach/Method – Workplan and Activities - (30 points);
- Outcomes/Evaluation/Dissemination - (20 points); and
- Level of Effort - (30 points).

a. Purpose and Need for Assistance Weight: 20 points

i. Does the proposed project clearly and adequately respond to the SMP Strategic Program Objectives, as described in this Program Announcement? (10 points).

ii. Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to its purposes? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (10 points)

b. Approach, Work Plan and Activities Weight: 30 points

i. Has the applicant demonstrated a thorough familiarity with the objectives, work and accomplishments of the SMP Program? Does the proposal reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcome(s)? Does the plan provide a feasible, well-thought out approach and the capacity for providing statewide program coverage? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success? Does the application detail use of national and community partnerships with appropriate organizations representative of the target population(s), aging network and health care community? (10 points)

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

iii. Does the applicant demonstrate experience in working with state aging agencies and community-based service providers to reach program goals? Does the application describe the roles of aging and community-based organizations, as well as other key stakeholders, in the planning and implementation of the proposed project? Does the application identify unmet needs in the hard-to-reach and target disadvantaged populations, as well as well-defined strategies for reaching these groups? (10 points)

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

i. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the proposed project likely to be achieved and will they significantly benefit the populations affected by the intervention? Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in Attachment F of the Program Announcement? (5 points)

ii. Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Does the proposal include plans to ensure project activities are fully and accurately captured automatically via a web-based management, tracking and reporting system in a timely manner? Does the plan include proactive use of project activity data to track and improve program performance? Does the application describe how performance targets, results and "lessons learned" will be incorporated into future project planning efforts? (10 points)

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

d. <u>Level of Effort</u>: <u>Weight: 30 points</u>

i.<u>Capacity</u>:

a) <u>Organizational Capacity:</u> Has the applicant demonstrated the organization's technological capacity to implement a web-based management, tracking and reporting system? (5 points)

b) <u>Staffing capacity</u>: Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Do they possess:

- knowledge and experience with the roles and responsibilities of SMP project;
- expertise on operation of a website and ability to manage and implement a web-based program management systems;
- expertise on the issues and policy considerations related to SMP program coverage, Medicaid, DME, or home health care fraud prevention; and
- demonstrated expertise in use of volunteers to achieve program objectives, <u>and</u> the capacity to provide training and technical assistance to volunteers about health care fraud prevention, one-on-one counseling, educational presentations, assisting individuals with inquiries and complaints, and investigation strategies to resolve issues on timely basis. (10 points)

ii. Collaborations: Are signed letters from participating organizations included, as appropriate, and do they express the clear commitment, roles, areas of responsibility, and resources that will be provided by those organizations, consistent with the work plan description of their intended roles and contributions? **Unsigned letters or letters without specific roles and responsibilities included will not be considered**.(5 points)

iii. Staffing: Is the time commitment of project staff, consultants, and/or partners appropriate and adequate to carry out the project? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? (5 points)

iv. Budget: Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items clearly delineated and consistent with work plan objectives? (5 points)

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. Based on the specific programmatic considerations as outlined under 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, to no more than one (1) project per each state or the District, 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.

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. The copies may include summary salary information.

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

Successful applicants will receive an electronic Notice of Award. The Notice of Award is the authorizing document from the Administration on Aging authorizing official, Grants Management Office, and the AoA budget office. Unsuccessful applicants are notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail or U.S. mail.

2. Administrative and National Policy Requirements

The award is subject to DHHS Administrative Requirements, which can be found in 45CFR Part 74 and 92 and the Standard Terms and Conditions implemented through the HHS Grants Policy Statement, October 1, 2006 located at http://www.hhs.gov/grantsnet/adminis/gpd/index.htm.

3. Reporting

The SF-269 (Financial Status Report) is due annually and the AoA program progress report is due semi-annually. Final performance and SF-269 reports are due 90 days after the end of the project period.

VII. AGENCY CONTACTS

Project Officer:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Barbara Lewis
Telephone: (202) 357-3532, e-mail: Barbara.Lewis@aoa.hhs.gov

Grants Management Specialist:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Stephen Daniels
Telephone: (202) 357-3464, e-mail: Stephen.Daniels@aoa.hhs.gov

VIII. OTHER INFORMATION

A. Order of Application Elements

a) 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.

2. SF 424A – Budget Information.

3. Separate Budget Narrative/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. Certification

6. Proof of non-profit status

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

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

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

10. Letters of Commitment from Key Partners.

11. "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 5/31/10.

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

ATTACHMENTS

Attachment A:
Instructions for completing the SF 424, Budget (SF 424A), Budget Narrative and Other Required Forms

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

Instructions for completing the SF 424, Budget (SF 424A), Budget Narrative, and Other Required Forms

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

a. Standard Form 424

1. **Type of Submission:** (Required): Select one type of submission in accordance with agency instructions.
• Preapplication • Application • Changed/Corrected Application – If AoA requests, check if this submission is to change or correct a previously submitted application.

2. **Type of Application**: (Required) Select one type of application in accordance with agency instructions.
• New . • Continuation • Revision

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier**: Leave this field blank

5a **Federal Entity Identifier**: Leave this field blank

5b. **Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information**: Enter the following in accordance with agency instructions:

a. Legal Name: (Required): Enter the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.

b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service.

c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.

d. Address: (Required) Enter the complete address including the county.

e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the project.

f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

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

10. **Name Of Federal Agency**: (Required) Enter U.S. Administration on Aging

11. **Catalog Of Federal Domestic Assistance Number/Title:** The CFDA number can be found on page one of the Program Announcement.

12. **Funding Opportunity Number/Title:** (Required) The Funding Opportunity Number and title of the opportunity can be found on page one of the program announcement.

13. **Competition Identification Number/Title:** Leave this field blank.

14. **Areas Affected By Project:** List the largest political entity affected (cities, counties, state etc).

15. **Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project.

16. **Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all.

17. **Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.

18. **Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.

NOTE: Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the upcoming budget period. For sub-item 18a, enter the federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd of the amount of federal funds being requested (the amount in 18a). For a full explanation of AoA's match requirements, see the information in the box below. For sub-item 18f, enter only the amount, if any, that is going to be used as part of the required match.

There are two types of match: 1.) non-federal cash and 2.) non-federal non-cash (i.e., in-kind). In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered <u>cash matching funds</u>. Generally, most contributions from third parties will be non-cash (i.e., in-kind) matching funds. Examples of <u>non-cash (in-kind) match</u> include: volunteered time and use of facilities to hold meetings or conduct project activities.

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

AOA's Match Requirement

Under this and other OAA programs, AoA will fund no more than 75 % of the **project's total cost**, which means the applicant must cover at least 25% of the **project's total cost** with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar

19. **Is Application Subject to Review by State Under Executive Order 12372 Process?** Check c. Program is not covered by E.O. 12372

20. **Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

21. **Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

b. Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this AoA program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a one year budget.

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 Narrative/Justification Requirement

You must submit a separate budget narrative 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 Narrative.** 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 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. **The budget justification should provide a detailed breakdown of large dollar values. A separate budget justification must be completed for each year of support requested.**

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, SF 424A Budget Categories for each contractor, and separate budget justifications for each year of support requested.

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. Program Income must be used as additional costs.

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). Keep in mind that if the match requirement is not met, federal dollars may be reduced.

Section D - Forecasted Cash Needs - Not applicable.

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

Line 20: Section E is relevant 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. Certification Regarding Lobbying

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant’s compliance with these certifications.

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 (Attachment G). Your help in this data collection process is greatly appreciated.

Proof of Non-Profit Status
Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

A copy of a currently valid IRS tax exemption certificate.

A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.

A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

Indirect Cost Agreement
Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency. This is optional for applicants that have not included indirect costs in their budgets.

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

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

Attachment B: Budget Narrative, 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	$267,100	$58,000	$27,767	$352,267	

75% or less of Total Cost

(Federal $)

25% or more of Total Cost

(Required Match)

Attachment C: Budget Narrative – 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 Narrative – 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**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	**11**	**12**
1.														
2.														

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

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

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

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

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

Attachment E

Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, please limit the length to no more than 265 words on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

  Goal(s) – broad, overall purpose, usually in a mission statement, i.e. what you want to do, where you want to be

  Objective(s) – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the "how"). Specific performances which will result in the attainment of a goal.

  Outcomes - measurable results of a project. Positive benefits or negative changes, or measurable characteristics that occur as a result of an organization's or program's activities. (outcomes are the end-point)

  Products – materials, deliverables.

- A model abstract/summary is provided below:

The grantee, Okoboji University, supports this three year Dementia Disease demonstration (DD) project in collaboration with the local Alzheimer's Association and related Dementias groups. The goal of the project is to provide comprehensive, coordinated care to individuals with memory concerns and to their caregivers. The approach is to expand the services and to integrate the bio-psycho-social aspects of care. The objectives are: 1) to provide dementia specific care, i.e., care management fully integrated into the services provided; 2) to train staff, students and volunteers; 3) to establish a system infrastructure to support services to individuals with early stage dementia and to their caregivers; 4) to develop linkages with community agencies; 5) to expand the assessment and intervention services; 6) to evaluate the impact of the added services; 7) to disseminate project information. The expected outcomes of this DD project are: patients will maintain as high a level of mental function and physical functions (thru Yoga) as possible; caregivers will increase ability to cope with changes; and pre and post – project patient evaluation will reflect positive results from expanded and integrated services. The products from this project are: a final report, including evaluation results; a website; articles for publication; data on driver assessment and in-home cognitive retraining; abstracts for national conferences.

Attachment F

Survey Instructions on Ensuring Equal Opportunity for Applicants

Applicant Organization's Name: ____

Applicant's DUNS Number: _________________

Grant Name: ____CFDA Number: ____________

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

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

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:** U.S. Department of Education, Washington, D.C. 2202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725

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