**Instructions for Preparing
Competitive Grant Applications
For the Livable Communities Initiative**

**U.S. Administration on Aging
2004**

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OVERVIEW

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)
Administration on Aging (AoA)
AoA Office – Center for Wellness and Community-Based Services

Program Name: Livable Communities

Program Announcement No: AoA-04-06

Announcement Type: New Competitive Grant

CFDA Number: 93.048

Dates: The *deadline date* for submission of applications is August 18, 2004.

Summary. The Administration on Aging (AoA) announced in the *Federal Register* on July 14, 2004 that it will hold a competition for a grant award to identify, assess, and disseminate information regarding the leading models of *"Livable Communities for All Ages."*

The purpose of this grant award is to identify and showcase communities that best meet the criteria of a livable community, and to highlight promising practices that can be used by county and municipal governments throughout the country in preparing for the aging of the baby boom population.

The vast majority of older Americans prefer to remain in their own homes and "age in place," even as they experience functional limitations. Multiple factors influence a person's ability to age in place. These factors include, but are not limited to, access to health and supportive services, the quality of the environment, community walkability, security, availability of accessible and affordable housing and transportation options, and availability of other services such as grocery stores and pharmacies. Taken together these factors constitute the characteristics of a livable community.

The major activities of the project are to: (1) conduct a competitive process to identify the top eight models of *Livable Communities for All Ages*; (2) work with the AoA to develop the criteria upon which the model communities will be selected; (3) develop a written manual consisting of case study descriptions of the models, along with other relevant technical assistance materials; and (4) draft an action plan that county and municipal governments can implement in replicating successful models of livable communities and that can serve as a framework for discussion at the 2005 White House Conference on Aging.

Statutory Authority. The statutory authority for the grant award for the Livable Communities Initiative is contained in Title IV of the Older Americans Act, (42 U.S.C. 3001et set.) as amended by the Older Americans Act of 2000 (P.L. 106-501).

Project Funding, Duration and Match. AoA plans to fund one grant through this competition at an award of up to $125,000 for a period of one year. Grantees are required to cover at least 25% of the total program costs from non-federal cash or in-kind resources.

Eligible Applicants.

Eligible applicants are national nonprofit and faith-based organizations with a demonstrated expertise in developing a framework or action plan that can be easily implemented through county and municipal governments.

Priority Target Populations and Organizations.

Applicants must: 1) have demonstrated experience in developing an action plan that can be implemented through county and municipal governments; 2) have experience involving community-based organizations in the planning and implementation of their project; and
3) take into consideration the needs of disadvantaged populations, including limited-English speaking populations, as a target population for the livable communities initiative.

For Further Information.

Contact: Bruce Craig, U.S. Department of Health and Human Services, Administration on Aging, Washington, DC 20201, telephone: (202) 357-3520, e-mail: Bruce.Craig@aoa.gov.

FULL TEXT OF ANNOUNCEMENT

I. FUNDING OPPORTUNITY DESCRIPTION

1. Background

A. Summary

The Administration on Aging (AoA) announced in the *Federal Register* on July 14, 2004 that it will hold a competition for a grant award to identify, assess, and disseminate information regarding the leading models of *"Livable Communities for All Ages."*

The purpose of this grant is to identify and showcase communities that best meet the criteria of a livable community, and to highlight promising practices that can be used by county and municipal governments throughout the country in preparing for the aging of the baby boom population. The successful applicant will: (1) conduct a competitive process to identify the top eight models of *Livable Communities for All Ages*; (2) work with the AoA to develop the criteria upon which the model communities will be selected; (3) develop a written manual consisting of case study descriptions of the models, along with other relevant technical assistance materials; and (4) draft an action plan that county and municipal governments can implement in replicating successful models of livable communities and that can serve as a framework for discussion at the 2005 White House Conference on Aging.

B. Statutory Authority

The statutory authority for grant awards for the Livable Communities Initiative is contained in Title IV of the Older Americans Act, (42 U.S.C. 3001et set.) as amended by the Older Americans Act of 2000 (P.L. 106-501).

C. Priority Target Populations and Organizations

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 component of the livable communities initiative.

2. Priority Area Description

The vast majority of older Americans prefer to remain in their own homes and "age in place," even as they experience functional limitations. According to a survey by AARP, "83% of persons aged 55 –64, 92% of persons aged 65-74, and 95% of persons aged 75+ somewhat or strongly agreed with the statement: 'What I'd really like to do is to stay in my current residence as long as possible.'"

Multiple factors influence a person's ability to age in place. These factors include, but are not limited to, access to health and supportive services, the quality of the environment, community walkability, security, the availability of accessible and affordable housing and

transportation options, and availability of other services such as grocery stores and pharmacies. Taken together these factors constitute the characteristics of a livable community.

In addition, older Americans have a wealth of expertise and knowledge to give back to their communities. Truly livable communities tap into this resource and promote intergenerational connections, meaningful education and employment across the lifespan, and opportunities for reciprocity to create an environment in which all residents are actively engaged and contributing. With the aging of the baby boom population, it becomes increasingly important for communities to plan for livable communities through the design of housing, accessibility, health care, transportation, and the efficient use of natural resources.

The purpose of this project is to identify and showcase communities that best meet the criteria of a livable community and highlight promising practices that can be used by county and municipal governments throughout the country. The successful applicant will work collaboratively with the AoA and other strategic partners to develop and implement a plan for identifying and highlighting best practice models for creating livable communities. Project activities will include: (1) conducting a competitive process to identify the top eight models of *Livable Communities for All Ages*; (2) working collaboratively with the AoA to develop the criteria upon which the model communities will be selected; and (3) developing a written manual consisting of case study descriptions of the models, along with other relevant technical assistance materials. The manual will include an implementation guide for county governments and communities to use in their efforts to prepare for the aging of the baby boom population, and will serve as a framework for the 2005 White House Conference on Aging.

II. AWARD INFORMATION

1. Award Type

The project will be a Cooperative Agreement, with the grantee and the Administration on Aging working in a collaborative effort to carry out the goals and objectives of the initiative. The award will be a cooperative agreement in which the grantee and the Administration on Aging work collaboratively to clarify the issues to be addressed by the project. Awardee activities for this initiative are as follows:

a. Working collaboratively with AoA to develop the initiative's plan and implementation, including developing the criteria upon which the model communities will be selected.
b. Conduct a competitive process to identify the top eight models of *Livable Communities for All Ages.*
c. Develop a written manual consisting of case study descriptions of the models, along with other relevant technical assistance materials.
d. Draft an action plan that county and municipal governments can implement in replicating successful models of livable communities, and that can serve as a framework for discussion at the 2005 White House Conference on Aging.

AoA activities for this initiative will include:

a   Working collaboratively with the grantee to develop the initiative's plan and
    implementation, including developing the criteria upon which the model
    communities will be selected.
b. Providing input for the plan.
c. Reviewing and commenting on the manual and related technical assistance materials.

2. **Project Funding, Duration and Match**

AoA plans to fund one grant through this competition at an award of up to $125,000 for a
period of one year. Grantees are required to cover at least 25% of the total program costs
from non-federal cash or in-kind resources.

III. ELIGIBILITY INFORMATION

1. **Eligible Applicants**

Eligible applicants are national nonprofit and faith-based organizations with a demonstrated
expertise in developing a framework or action plan that can be easily implemented through
county and municipal governments.

2. **Cost Sharing or Matching**

Under this and similar programs, AoA does not make grant awards for the entire project
cost. Successful applicants must, at a minimum, contribute one (1) dollar, secured from
non-federal sources, for every three (3) dollars received in federal funding. Grantees are
therefore required to cover at least 25% of the total program costs from non-federal cash
or in-kind resources. While the matching requirement will not be used as a
responsiveness criterion for purposes of screening, applicants must show their anticipated
match in their proposed applications.

3. **Other**

A. **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://eupdate.dnb.com/requestoptions.html?cmid=EOE100537**.**

B. 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:

i. POSTMARK REQUIREMENTS

Applications must be postmarked by midnight, August 18, 2004, or hand-delivered by 5:30 p.m. Eastern Time, on August 18, 2004, or submitted electronically by midnight, August 18, 2004.

ii. ORGANIZATIONAL ELIGIBILITY

Nonprofit national and faith-based organizations with a demonstrated expertise in developing a framework or action plan that can be easily implemented through county and municipal governments.

iii. RESPONSIVENESS TO PRIORITY AREA DESCRIPTION

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

iv. 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 kits are available by writing to:

U.S. Department of Health and Human Services
Administration on Aging
Office of Community-Based Services
Washington, D.C. 20201

Or by calling: 202-357-3452.

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

You may submit your application to us either in electronic or paper format. To submit an application electronically, please use the www.Grants.gov 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:

- Electronic submission is voluntary.
- 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

B. Project Narrative

The Project Narrative is the critical part of the application. It should be clear, concise, and, of course, responsive to this program announcement. In describing your proposed project, make certain that you respond fully to the evaluation criteria set forth in Section V. The organization of the narrative might well, in fact, parallel the criteria, beginning with an integrated discussion of the project's purpose(s), relevance, significance, and responsiveness to the program announcement, which answers the questions of why the proposed project should be undertaken and what it intends to accomplish. The next section of the narrative provides a detailed explanation of the approach(es) the project will follow to achieve its purpose(s), leading to a discussion of the operational strategies and

outcomes/results/benefits of the proposed project and how these will be disseminated and utilized. The narrative concludes with the level of effort, program management and organizational capacity needed to carry out the project, in terms of the Project Director and other key staff, funding, and other resources.

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

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

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

i. SUMMARY/ABSTRACT

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

ii. PROBLEM STATEMENT

Describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address. (Suggested Length and Format: two to four paragraphs). In particular, attention should be given to:

iii. PROJECT GOAL(S) 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: Grid format, linked with Work Plan. A *sample* work plan grid is included in the attachments. Alternatively, use a bulleted format or describe in one paragraph.)

iv. PROPOSED INTERVENTION

Provide a clear and concise description of the intervention you are proposing to use to address the problem previously described. Describe the rationale for using the particular intervention, including factors such as: "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. In particular, attention should be given to:

- Justifying the proposed project in terms of the most recent, relevant; and available information and knowledge regarding livable communities;

- Describing your plans for gathering information and your strategies for assessing best practice models;

- Describing the role and makeup of any strategic partnerships you plan to involve in implementing the project, including other organizations, funding sources, and/or consumer groups, including a short description of the nature of their effort or contribution.

- Describing your proposals for highlighting and disseminating best practices and lessons learned.

Suggested length and format for this description is four to six paragraphs.

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

v. SPECIAL TARGET POPULATIONS AND ORGANIZATIONS

Provide a description of how you plan to involve community-based organizations in a meaningful way in the planning and implementation of the proposed project. This section should also describe how the proposed intervention will target disadvantaged populations.

vi. OUTCOMES

Provide a narrative clearly identifying the measurable outcome(s) that will result from the project. (NOTE: AoA will not fund any project that does not include measurable outcomes – see the section below for a definition of a measurable outcome.) This section should also describe how the project's findings might benefit the field at large, (e.g., how the findings could help other organizations throughout the nation to address the same or similar problems.) Finally, you should describe your plans for ensuring the long-term sustainability of the program.

NOTE: Keep the focus in this section on describing what outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe how the outcome(s) will be measured and reported.

In particular, attention should be given to:

- Project outcomes that are measurable and clearly identified, realistic, and consistent with the objectives of the project;

NOTE: Your application will be scored on the clarity and nature of your proposed outcome(s), NOT the number of outcomes you cite. It is appropriate for a project to have only ONE outcome that it is trying to achieve through the intervention reflected in the project's design.

vii. PROGRAM MANAGEMENT

Include a clear delineation of the roles and responsibilities of project staff, consultants and other partner organizations, and how they will contribute to the project's objectives and outcome(s). Specify who will have day-to-day responsibility for key tasks such as: leadership of the project; monitoring the project's ongoing progress; preparation of reports; and communications with other partners and AoA. Also describe the approach that will be used to monitor and track the progress of the project's tasks and objectives. (Suggested Length and Format: Three paragraphs.)

viii. EVALUATION PLAN

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

ix. DISSEMINATION

Describe the method that will be used to disseminate the project's results and findings in a timely manner, and in easy to understand formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project. (Suggested Length: Three to five paragraphs.)

x. 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 or action steps that will be pursued to achieve the goal and outcome(s). For each major task or action step, the work plan should identify the timeframes involved (including start and end dates), and the lead person responsible for completing the task. A *sample* grid work plan format is included in the Attachments. (Suggested Length and Format: Grid format. Alternatively, not more than two pages preferably presented in bullet format. Note: A work plan in grid format does not count as part of the project narrative's 20-page limit. A work plan in a narrative format does count as part of the project narrative's 20-page limit.)

In particular, attention should be given to:
- Providing a detailed timeline for the accomplishment of tasks and objectives; and

- The logical and realistic sequence and timing of events.

xi. <u>ORGANIZATIONAL CAPABILITY STATEMENT & VITAE FOR KEY PERSONNEL</u>

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 the project and achieving project goals.

xii. <u>LETTERS OF COMMITMENT FROM KEY PARTNERS</u>

Include confirmation of the commitments to the project (should it be funded) made by <u>key</u> 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.

B. **Required Project Narrative Format And Length**

The Project Narrative must be:

- double-spaced
- on single-sided 8 ½" x 11" plain white paper
- have 1" margins on both sides
- a font size of not less than 11. (You can use smaller font sizes to fill in the Standard Forms and Sample Formats.)

The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. <u>AoA will not accept applications with a Project Narrative that exceeds 20 pages.</u> The components counted as part of the 20-page limit include:

- Project Summary / Abstract
- Problem Statement
- Overall Project Goals and Objectives
- Specific Proposed Intervention
- Outcomes
- Special Target Populations and Organizations
- Work Plan
- Evaluation Plan
- Dissemination Plan
- Project Management
- Organizational Capability.

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

C. Instructions for Completing Standard Forms

    i.   INSTRUCTIONS FOR COMPLETING STANDARD FORM 424

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

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

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

Item 3. Not applicable – Mark "NA".

Item 4. Leave blank.

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

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

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

Item 8. Check the "New" box.

Item 9. Enter - Administration on Aging

Item 10. Enter – 93.048

Item 11. Enter the title of the project.

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

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

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

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

Item 14b. Leave Blank

Item 15. **NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 15 and the Budget Information Sections A, B and C noted below.

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

There are three types of match: 1.) non-federal cash; 2.) non-federal non-cash (i.e., in-kind); and program income. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are consider <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. A third form of non-federal match is projected <u>program income</u> derived from activities of the project such as participant fees and sale of publications. <u>Only program income that is to be used as part of the required match should be shown on Line 15.</u>

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.

ii. <u>STANDARD FORM 424A – BUDGET INFORMATION FOR NONCONSTRUCTION PROGRAMS</u>

Provide line item detail and detailed calculations for each budget object class identified on the Budget Information form (SF424A). Detailed calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient

for the calculation to be duplicated. The detailed budget must also include a breakout by the funding sources identified in Block 15 of the SF-424.

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.

Separate Budget Justification Requirement

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

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

General

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

Personnel

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

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

<u>Fringe Benefits</u>

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

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

<u>Travel</u>

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

Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates).

<u>Equipment</u>

Description: "Equipment" is a non-expendable, tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Enter the total costs of all equipment to be acquired by the project. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e.

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

<u>Supplies</u>

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

Justification: Provide general descriptions of types of items included.

<u>Contractual</u>

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

Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to**

another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.

Construction

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

Other

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

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

Total Direct Charges

Show the totals of Lines 6a through 6h.

Indirect Charges

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

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

organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

Total

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

Program Income

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

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

Nonfederal Resources

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

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

iii.   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.

iv.   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.

v.   **OTHER APPLICATION COMPONENTS**

a. 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.

b. 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.

c. **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 other federal agency.

3.   **Submission Dates and Times**

The *deadline date* for the submission of applications under this program announcement is August 18, 2004. Applications must be postmarked by midnight, August 18, 2004, hand-delivered by 5:30 p.m. Eastern Time, on August 18, 2004, or submitted electronically by midnight, August 18, 2004.

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

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

Grants Management Division
Washington, DC 20201
Attention: Margaret 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   20001
Attention: Margaret A. Tolson

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

Applicants who fill in the return address information on the confirmation of application receipt postcard, and submit 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)
- Continuation of existing projects without expansion or new and innovative approaches

6. <u>Other Submission Requirements</u>

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 in included the Attachments.

V. APPLICATION REVIEW INFORMATION

1. <u>Criteria</u>

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/Benefits/Impacts (20 points); and
- Level of Effort, Program Management, and Organizational Capacity (30 points).

<u>Purpose and Need for Assistance</u>   <u>Weight: 20 points</u>

- Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? Does the applicant understand the specific nature, varieties, and prevalence of livable communities? Does the applicant's proposal demonstrate experience examining and assessing livable communities? **(10 points)**

- Does the application adequately and appropriately describe and document the key problem(s)/ condition(s) relevant to its purpose? Is the overall proposal a clear and competent response to the program purpose as identified in Section I of the Program Announcement? **(5 points)**

- Does the applicant adequately and appropriately describe the needs of 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)**

<u>Approach/Method – Work Plan and Activities</u>   <u>Weight: 30 points</u>

- 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 implementation and outcomes? **(10 points)**

- Does the work plan include sensible and feasible timeframes for the accomplishment of tasks presented? Is the sequence and timing of events logical and realistic? Does the plan include a realistic strategy for gathering and assessing best practice models? **(10 points)**

- Does the plan include a collaborative effort with the Administration on Aging and other relevant parties in developing the criteria for assessing best practices? Are the

proposed strategic partnerships well thought out and developed in terms of meeting the goals of the work plan and project? **(10 points)**

Outcomes/Benefits/ Impact   **Weight: 20 points**

- Are the expected project outcomes measurable and clearly identified, realistic, and consistent with the objectives of the project? **(10 points)**

- Does the proposal include a plan for dissemination that is likely to increase the awareness of project activities and events during project performance? **(10 points)**

Level of Effort, Program Management & Organizational Capacity   Weight: 30 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? Is the time commitment of the proposed director and other staff sufficient to assure proper direction, management, and timely completion of the project? **(10 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 and staff have the background, experience, and other qualifications required to carry out their designated roles? 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? **(10 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 <u>key</u> 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? **(10 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 other than AoA. Based on the specific programmatic considerations as outlined under "Program Priorities", 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 anticipated outcomes.

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

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

VII.   AGENCY CONTACTS

Livable Communities Project Officer:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Bruce Craig
telephone: (202) 357-3420, e-mail: Bruce.Craig@aoa.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.gov

VIII. OTHER INFORMATION

1. <u>Order of Application Elements</u>

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

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

C.   SF 424A – Budget Information.

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

E.   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).

E.   AoA Certifications.

F.   Proof of non-profit status

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

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

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

J.   Letters of Commitment From Key Partners.

K.   Completed Application Package Checklist

L.   "Survey on Ensuring Equal Opportunity for Applicants" (Optional non-profit applicants)

2. Paperwork Reduction Act Statement

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

The 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.