Technical Assistance Project for

Legal Assistance Grants

Program Announcement and Grant Application

Instructions

U.S. Administration on Aging
2005

Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center for Wellness and Community Based Services

Funding Opportunity Title: Technical Assistance Project for Legal Assistance Grants

Announcement Type: Initial

Funding Opportunity Number: HHS-2005-AoA-LH-0508

Catalog of Federal Domestic Assistance (CFDA) Number: 93.048

Key Dates: The deadline date for submission of applications is **August 16, 2005.**

Executive Summary: AoA currently funds twelve Legal Assistance Grants to provide states with a cost-effective way to increase the number of seniors who receive quality legal assistance, particularly the underserved. AoA plans to award one project grant which will provide substantive technical assistance, training, evaluation, and capacity-building services to these statewide grants through this competition, funded at a federal share of approximately $100,000 per year for a project period of two years, contingent upon the availability of federal funds. Public and/or nonprofit agencies and organizations, including faith-based and community-based organizations, are eligible to apply under this program announcement. Federally recognized tribes are also eligible to apply under this program announcement. However, to be considered for funding, applicants must be experienced in providing legal assistance to older persons. Applicants should ideally be well-established, known presences in their respective professional communities, and should describe their ability to provide services under the program on a national basis.

I.   **FUNDING OPPORTUNITY DESCRIPTION**

  Statutory Authority

  The statutory authority for grants under this program announcement is contained in Title IV of the Older Americans Act (OAA) (42U.S.C. 3032), as amended by the Older Americans Act Amendments of 2000, P.L. 106-501 (Catalog of Federal Domestic Assistance 93.048, Title IV Discretionary Projects).

  Program History

  AoA's legal programs help to ensure that older Americans and their caregivers receive critical information in areas such as consumer protection, public benefits, residents' rights, guardianship, and health and financial advance planning. Though technology has improved the quality and quantity of elder rights information and services, there remains a great need to enhance seniors' access to legal services, particularly for underserved, vulnerable older adults. It is for this reason that AoA has supported efforts to provide states with a cost-effective way to increase the number of seniors who receive legal assistance, particularly through the statewide senior legal helpline model.

In FY 2003, AoA broadened its Senior Legal Helplines Program (currently referred to as Legal Assistance Grants) by encouraging states to build upon innovative methods to reach underserved populations, such as self-help offices, interactive websites, and collaborative efforts, to augment the services of the traditional statewide helpline model. In addition, a focus on linkages with AoA's Eldercare Locator and elder rights resource centers facilitated streamlined access to senior legal services and encouraged coordination and integration of delivery.

The Legal Assistance Grants program has greatly contributed to AoA's goal of offering choices to seniors that enhance their autonomy, independence, and ability to remain in the community. The information and assistance provided to those served through helplines and other program efforts improve seniors' financial, emotional, physical and mental well-being, thereby increasing their ability to make independent choices on issues such as health care and medication, nutrition, and living conditions – each of which may positively impact their quality of life during retirement years.

The Legal Assistance Grants program contributes to AoA's mission and strategic priorities by:

- Increasing access to services for underserved seniors, particularly:
    - Ethnic minorities
    - Low-income seniors
    - Limited-English speaking individuals
    - Those seniors who are rural, homebound, or lacking in transportation to visit a traditional law office;
- Providing a streamlined and seamless gateway to Title III-B providers;
- Making accurate and targeted referrals to other OAA programs;
- Serving as a powerful ally to seniors in preventing fraud and abuse;
- Partnering with community and faith-based organizations;
- Allowing AoA to increase the number of seniors who receive legal services; and
- Employing sophisticated data collection and evaluation measures to annually assess outcomes.

Moreover, initial research has revealed that services provided by Legal Assistance Grants are greatly desired by seniors. In 2004, Utah conducted the first statewide survey of senior legal needs. A majority (69%) of seniors cited a legal helpline as the most needed service.

In FY 2004, AoA's Legal Assistance Grants program:

- Served 54,000 households;
- Handled over 100,000 calls and 67,000 cases;
- Closed 46,000 cases with telephone advice; and
- Reached 33,000 seniors through workshops and outreach events.

In addition, Legal Assistance Grants contributed greatly to the Administration's priority of enrolling seniors in the 2004-2005 transitional prescription drug benefit and vigorously positioned their staff and technology to enroll callers in the new Medicare prescription drug benefit program.

Project Objectives and Activities

AoA intends to award a grant under this priority area for the purpose of supporting a Technical Assistance Project for Legal Assistance Grants. The successful applicant will be expected to provide substantive technical assistance, training, evaluation, and capacity-building services to all AoA-funded projects under the Legal Assistance Grants program. As such, applicants must demonstrate strong experience in the provision of senior legal services and knowledge of the history and policy considerations surrounding access to and delivery of legal services to older Americans, including existing gaps and needs.

Applicants must also indicate extensive knowledge of the models of access and delivery that have been established across the country, such as the operation of statewide legal hotlines, self-help offices, interactive websites, etc. In addition, applicants should demonstrate a thorough understanding of the activities and best practices developed by other AoA-funded grants under the Legal Assistance Grants Program. On the basis of its strong knowledge base and its assessment of the previous and current grantees, the Technical Assistance Project will be expected to assist the new grantees at the crucial planning and implementation stages and offer recommendations and guidance for future program developments.

Technical Assistance and Training

The application must include a detailed plan and methodology for assisting the individual projects. The proposal plan should include:

- A description of a fully operational website that provides comprehensive, up-to-date technical assistance information of practical use, including procedural manuals, newsletters, and fact sheets;
- Information on orientation, training, information sharing, and discussion of documentation and reporting for all new projects;
- A schedule that includes a minimum of one site visit to each new project and a minimum of two teleconferences with project directors in each funding period; and
- A detailed discussion of assistance and guidance to existing grantees.

Program Evaluation, Dissemination, and Support of National Initiatives

The grantee will be required to conduct an on-going evaluation of the Legal Assistance Grants Program, consisting of data collection, analysis, documentation, and dissemination. The evaluation should focus both on performance and on continuous quality improvement.

The applicant must create and/or implement a data collection and reporting system with an outcomes-oriented approach by which the effectiveness of delivery of legal services to the senior population will be continuously monitored. Key data elements should include the number of cases opened and closed, assistance provided and outcomes achieved, and the case types most frequently reported. The project will be required to prepare annual reports describing the progress, status and accomplishments of the Legal Assistance

Grants. Dissemination of such information will strengthen and expand the reach of legal services programs to older Americans nationwide.

The continuous quality improvement component of the evaluation should focus on identifying and sharing best practices and lessons learned in increasing the numbers of seniors who have access to senior legal services, including successful strategies to overcome barriers; opportunities for enhancing legal service delivery, including the use of alternative funding sources; and improving coordination among legal services providers for older Americans through programmatic consultation.

II.   AWARD INFORMATION

AoA plans to award one project grant under this competition which will provide substantive technical assistance, training, evaluation, and capacity-building services to grantees under the AoA Legal Assistance Grants program. This project will be funded at a federal share of approximately $100,000 per year for a project period of two years, contingent upon the availability of federal funds.

III.   ELIGIBILITY INFORMATION

1. Eligible Applicants

Public and/or nonprofit agencies and organizations, including faith-based and community-based organizations, are eligible to apply under this program announcement. Federally recognized tribes are also eligible to apply under this program announcement. However, to be considered for funding, applicants must be experienced in providing legal assistance to older persons. Applicants should be established, well-known presences in their respective professional communities, and should describe their ability to provide services under the program on a national basis.

2. Cost Sharing or Matching

Under this and other OAA programs, AoA will fund no more than 75 % of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar in non-federal resources toward the project's total cost (i.e., the amount on line 15g.). This "three-to-one" ratio is reflected in the formula included under Item 15 in Attachment B. 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. Match is not one of the responsiveness criteria as noted in Section IV 2 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 postmarked by midnight **August 16, 2005** or hand-delivered by 5:30 p.m. Eastern Time on **August 16, 2005,** or submitted electronically by midnight **August 16, 2005.** Electronic submissions are encouraged and must be sent via www.grants.gov.

2. The Project Narrative section of the Application 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.

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 www.aoa.gov or http://www.grants.gov.

Application kits are also available by writing to:

U.S. Department of Health and Human Services
Administration on Aging
Valerie Soroka
Center for Wellness and Community Based Services
Washington, D.C. 20201,

E-mailing:
valerie.soroka@aoa.hhs.gov,

Or by calling: 202-357-3531

AoA encourages applicants to submit proposals electronically via www.grants.gov. **For assistance with www.grants.gov, please contact AoA's helpdesk at 202-357-3438.** 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 www.grants.gov website. Applicatinos cannot be e-mailed to AoA. However, you can submit an application in paper format.

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 CFDA number 93.048.
- At the www.grants.gov website, you will find information about submitting an application electronically through the site, including 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 a time delay.

- All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System number and register in the Central Contractor Registry (CCR). You should allow a minimum of **five days** to complete the CCR registration.
- 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 will not receive additional point value because you submit a grant application in paper format.

2.   Content and Form of Application Submission

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

b. 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.** The Project Work Plan, Letters of Cooperation, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections noted above are included in the limit.

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 by AoA 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 brief - no more than 300 words maximum - description of the proposed project, including: the goal, the list of objectives and the products to be developed. Detailed instructions for completing the summary/abstract are included in Attachment F of this document.

Problem Statement. This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how increased access to senior legal services will potentially affect the elderly population and/or their caregivers (including specific subgroups within those populations), and possibly the health care and social services systems (e.g., the use of health care and/or nursing home services.) Demonstrate an understanding of the populations most affected by these issues and the unique nature of the problems they encounter, as appropriate (Suggested Length: one to two pages)

Goals and Objectives. This section should consist of a description of the project's goal(s) and major objectives. NOTE: Unless the project involves multiple, complex interventions, we recommend you have only one overall goal. (Suggested Length and Format: You may include this information in the attached project work plan grid; alternatively, use a bulleted format or paragraph format, one page)

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 "Problem Statement." You should also describe the rationale for using the particular intervention, including factors such as: the existing research and evidence related to the delivery of senior legal services; "lessons learned" for current and previous AoA-funded Legal Assistance grantees; and factors in the larger environment that have created the "right conditions" for the intervention (e.g., existing social, economic or political factors that you'll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, funders, and/or consumer groups. (Suggested Length: three to five pages)

Special Target Populations and Organizations. This section should describe how you plan to involve community-based organizations in a meaningful way in the planning and implementation of the proposal project. This section should also describe how the proposed intervention will benefit disadvantaged populations, including low-income, minority, rural, homebound and limited-English speaking populations (suggested length: one to two pages)

Outcomes. This section of the project narrative must clearly identify the <u>measurable</u> outcome(s) that will result from the project and your experience in using such measures in the past (NOTE: AoA will not fund any project that does not include measurable outcomes -- see Appendix F for the definition of an outcome). This section should also describe how the project's findings might benefit the field at large, (e.g., how the findings could help other organizations throughout the nation to address the same or similar problems.) (Suggested Length and Format: For your measurable outcomes: preferably list them in the attached work plan grid; alternatively, present them in bullet format. Narrative format for measurable outcomes, as well as the description of how the project might benefit the field at large – total one to two pages)

> **Note:** You should keep the focus in this section on describing <u>what</u> outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe <u>how</u> the outcome(s) will be measured and reported.

Examples of outcomes include: number of households served and/or calls received; number of cases opened; number of cases closed with telephone advice; number of cases referred; and number of seniors reached through workshops and outreach events.

> **Note:** Your application will be scored on the clarity and nature of your proposed outcomes, not on the number of outcomes cited. It is totally appropriate for a project to have only ONE outcome that it is trying to achieve through the intervention reflected in the project's design.

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

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

Dissemination. This section should describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project. (Suggested Length: 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. 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. Please attach short vitae for key project staff only.   These vitae will not 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.

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

Letters of Commitment from Key Participating Organizations and Agencies. Include confirmation of the commitments to the project (should it be funded) made by <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.

3.   **Submission Dates and Times**

The deadline for the submission of applications under this program announcement is **August 16, 2005.** Applications must be: submitted electronically by midnight, **August 16, 2005;** postmarked by midnight, **August 16, 2005;** or hand-delivered by 5:30 p.m. Eastern Time, on **August 16, 2005.**

Applications that fail to meet the application due date will <u>not</u> be reviewed and will receive <u>no</u> further consideration.

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 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 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:
- 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**

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

For applicants submitting their application through www.grants.gov, you must register in the Central Contractor Registry (CCR) database in order to be able to submit the application. One element of the CCR is the DUNS number (see section IV.2), which must be obtained separately from CCR registration. Information about CCR is available at http://www.grants.gov/CCRRegister . You must also register with a Credential Provider to receive a username and password to securely submit your grant application. Information is available at http://www.grants.gov/CredentialProvider.

If you 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.

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, overnight delivery, 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

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 - (30 points); and
- Level of Effort - (20 points).

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

i. Does the proposed project clearly and adequately respond to the priority area, and is it consistent with the AoA program purpose, as described in Part 1 of this Program Announcement? Does the applicant clearly and fully comprehend the functions and activities of AoA's Legal Assistance Grants program, as well as the responsibilities of the applicant in providing substantive training and technical assistance to the Legal Assistance grantees? (10 points)

ii. Does the project proposal demonstrate a thorough understanding of legal assistance programs for the elderly and the roles of the national, state, and local agencies responsible for their operation? Does the applicant identify target populations and substantiate their need for increased access to senior legal services? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (10 points)

b. <u>Approach, Work Plan and Activities</u>   <u>Weight: 30 points</u>

i. Does the applicant present a well-thought-out approach for delivering the intervention? Has the applicant demonstrated a thorough familiarity with the objectives, work and accomplishments of AoA's Legal Assistance Grants program? 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 applicant clearly define its commitment to and level of support for the national vision and goals of this program? Does the proposal include plans for sharing its results with AoA and with other components of the senior legal services 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? Does the work plan include specific objectives and tasks that are linked to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants and partners clearly defined and linked to specific objectives and tasks? Are the qualifications of the project staff, consultants and/or partners, and the proposed level of effort, adequate to carryout the project? (10 points)

iii. Are the proposed strategies cost-effective and appropriate to the clients served? Has the applicant identified appropriate aging, federal, state and community-based organizations and optimized the use of potential partnerships with these organizations in implementing the project? (10 points)

c. Project Outcomes, Evaluation and Dissemination   Weight: 30 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, and the field of aging as a whole? Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in Appendix F of the Program Announcement? (10 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 plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture "lessons learned" from the overall effort that might be of use to others in the field of aging, especially those who might be interested in replicating the project? (10 points)

iii. Will the dissemination plan get relevant and easy to use information in a timely manner to parties that might be interested in making use of its findings, particularly to those who might want to replicate the project?   (10 points)

d. Level of Effort: Weight: 20 points

i. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? Has the applicant demonstrated capacity and experience in using quantitative performance outcome information to support their activity and management decisions? (10 points)

ii. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? Are budget line items clearly delineated and consistent with work plan objectives? (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 "Project Objectives and Activities," (section I, Funding Opportunity Description), the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria identified above.

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

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

VI.   AWARD ADMINISTRATION INFORMATION

1.   *Award Notices*

Successful applicants will receive an Approval letter, and a Notice of Financial Assistance Award. The Notice of Financial Assistance Award is the authorizing document, and will be signed by the AoA grants officer, the AoA authorizing official, and the AoA budget office. Unsuccessful applicants are notified 30 days after successful applicants and will receive a disapproval letter.

2.   *Administrative and National Policy Requirements*

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

3.   *Reporting*

An original and two copies of the SF-269 (Financial Status Report) and the AoA program progress report are due semi-annually. Awardees will receive a copy of the required program progress report form with their Notice of Financial Assistance Award. Final performance and SF-269 reports are due 90 days after the end of the project period. For more information see DHHS / AoA Standard Terms and Conditions.

VII.   AGENCY CONTACTS

Project Officer:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Valerie Soroka
Telephone: (202) 357-3531, e-mail: valerie.soroka@aoa.hhs.gov

Grants Management Officer:
U.S. Department of Health and Human Services
Administration on Aging
Washington, DC 20201
Attn: Margaret Tolson
Telephone: (202) 357-3440, e-mail: Margaret.Tolson@aoa.hhs.gov

VIII.   OTHER INFORMATION

A.   Order of Application Elements

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

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

2. SF 424A – Budget Information.

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

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

5.   AoA Certification.

6.   Proof of non-profit status

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

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

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

10. Letters of Commitment from Key Partners.

11. Completed Application Package Checklist

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

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

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

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

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

ATTACHMENTS

Attachment A:
Application Package Checklist

Attachment B:
Instructions for completing the Budget (SF424A) and Budget Justification

Attachment C:
Budget Justification Format – Sample Format with Examples

Attachment D:
Budget Justification – Sample Format

Attachment E:
Project Work Plan - Sample Format

Attachment F:
Instructions for Completing the Summary/Abstract

Attachment G:
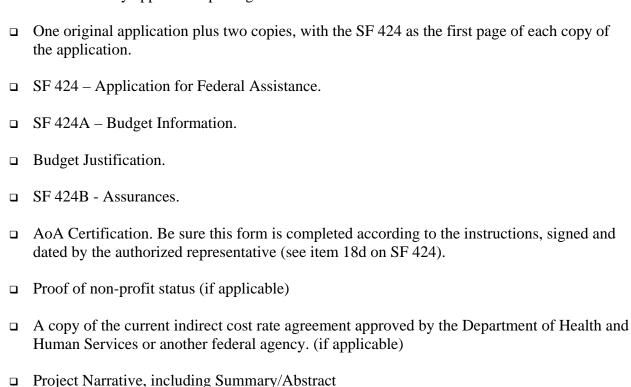### "Survey on Ensuring Equal Opportunity for Applicants"

Attachment A:

Grant Application Package Checklist

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

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

❑ One original application plus two copies, with the SF 424 as the first page of each copy of the application.

❑ SF 424 – Application for Federal Assistance.

❑ SF 424A – Budget Information.

❑ Budget Justification.

❑ SF 424B - Assurances.

❑ AoA Certification. Be sure this form is completed according to the instructions, signed and dated by the authorized representative (see item 18d on SF 424).

❑ Proof of non-profit status (if applicable)

❑ A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency. (if applicable)

❑ Project Narrative, including Summary/Abstract

❑ Completed Grant Application Package Checklist

❑ Receipt of Application Acknowledgement Card (Optional)

❑ "Survey on Ensuring Equal Opportunity for Applicants" (non-profit applicants only)

Instructions for completing the Budget (SF424A) and Budget Justification

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

a. Standard Form 424

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

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

Item 3. Not applicable – Mark "NA".

Item 4. Leave blank.

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

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

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

Item 8. Check the "New" box.

Item 9. Enter - Administration on Aging

Item 10. Enter – 93.048

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

There are three types of match: 1.) non-federal cash; 2.) non-federal non-cash (i.e., in-kind); and program income. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are consider cash matching funds. Generally, most contributions from third parties will be non-cash (i.e., in-kind) matching funds. Examples of non-cash (in-kind) match include: volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income that is to be used, as part of the required match should be shown on Line 15.

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.

AOA's Match Requirement

Under this and other OAA programs, AoA will fund no more than 75 % of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar in non-federal resources toward the project's total cost (i.e., the amount on line 15g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your minimum required match:

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

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

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

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

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

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

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

b. Standard Form 424A

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

Section A - Budget Summary

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

Section B - Budget Categories

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

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

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

Separate Budget Justification Requirement

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

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants; consultant costs should be included under 6h - Other. In the Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and the percent of their time commitments to the project in the budget justification.

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

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

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

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

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

Line 6f: Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those, which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. In the Justification: Attach a list of contractors indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.

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

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

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

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

Justification: State governments should enter the amount of indirect costs determined in accordance with DHHS requirements. An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, it should immediately upon notification that an award will be made, develop a tentative indirect cost rate proposal based on its most recently completed fiscal year in accordance with the principles set forth in the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the

cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. It should be noted that when an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the grant. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

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

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

Section C - Non-Federal Resources

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

Section D - Forecasted Cash Needs - Not applicable.

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

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

Section F - Other Budget Information

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

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

c. Standard Form 424B - Assurances

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

d. AoA Certification

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

e. Other Application Components

Survey on Ensuring Equal Opportunity for Applicants

The Office of Management and Budget (OMB) has approved an HHS form to collect information on the number of faith-based groups applying for a HHS grant. Non-profit organizations, excluding private universities, are asked to include a completed survey with their grant application packet. Attached you will find the OMB approved HHS "Survey on Ensuring Equal Opportunity for Applicants" form (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 C: Budget Justification, Page 1 – Sample Format with EXAMPLES

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$40,000		$5,000	$45,000	Project Supervisor (name) = .3FTE @ $50,000/yr = $15,000 Project Director (name) = 1FTE @ $30,000 = $30,000
Fringe Benefits	$12,600	0	0	$12,600	Fringes on Supervisor and Director @ 28% of salary. FICA (7.65%) = $3,442 Health (12%) = $5,400 Dental (5%) = $2,250 Life (2%) = $ 900 Workers Comp Insurance (.75%) = $ 338 Unemployment Insurance (.6%) = $ 270

Travel	$3,000	0	$ 967	$3,967	Travel to Annual Grantee Meeting:
					  Airfare: 1 RT x 2 people x $750/RT = $1,500
					  Lodging: 3 nights x 2 people x $100/night = $ 600
					  Per Diem: 4 days x 2 people x $40/day = $ 320
					
					 Out-of-Town Project Site Visits
					  Car mileage: 3 trips x 2 people x 350 miles/trip
					
					  x $ .365/mile = $ 767
					  Lodging: 3 trips x 2 people x 1 night/ trip
					  x $50/night = $300
					  Per Diem: 3 trips x 2 people x 2days/trip
					  x $40/day = $480

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

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Equipment	0	0	0	0	No equipment requested
Supplies	$1,500		$2,000	$3,500	Laptop computer for use in client intakes = $1,340 Consumable supplies (paper, pens, etc.) $100/mo x 12 months = $1,200 Copying $80/mo x 12 months = $ 960

Contractual	$200,000	$50,000	0	$250,000	Contracts to A,B,C direct service providers (name providers)
					    adult day care contractor = $75,000
					    respite care contractor in home= $75,000
					    respite care contractor-NF = $50,000
					    personal care/companion provider = $50,000
					
					See detailed budget justification for each provider (and then provide it!)

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

Other	$10,000	$8,000	$19,800	$37,800	Local conference registration fee (name conference) = $ 200
					Printing brochures (50,000 @ $ .05 ea) = $ 2,500
					Video production = $19,800
					Video Reproduction = $ 3,500
					NF Respite Training Manual reproduction
					    $3/manual x $2000 manuals = $ 6,000
					Postage $150/mo x 12 months = $ 1,800
					Caregiver Forum meeting room rentals
					    $200/day x 12 forums = $ 2,400
					Respite Training Scholarships = $1,600

Indirect Charges	0	0	0	0	None
TOTAL	$265,700	$60,800	$27,767	$354,267	

75% of Total Cost

(Federal $)

25% of Total Cost

(Required Match)

Attachment D: Budget Justification – Page 1 – Sample Format

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

Attachment D: Budget Justification – Page 2 – Sample Format

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

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

Goal:																			
Measurable Outcome(s):																			

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

Attachment E: 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.														4.

Attachment E: 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 F

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 300 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 G

Survey on Ensuring Equal Opportunity for Applicants
OMB No. 1890-0014 Exp. 1/131/2006

Applicant's (Organization) 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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

OMB No. 1890-0014 Exp. 1/31/20