U.S. Administration on Aging

PPHF – 2012 – Elder Abuse Prevention Interventions Program

Program Announcement and Grant Application Instructions

U.S. Administration on Aging
FY 2012

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Department of Health and Human Services (HHS)

Administration on Aging (AoA)

AoA Center for Program Operations

**Funding Opportunity Title: PPHF – 2012 – Elder Abuse Prevention Interventions Program
Announcement Type: Initial**

Funding Opportunity Number: HHS-2012-AoA-EA-1214

Catalog of Federal Domestic Assistance (CFDA) Number: 93.747

Key Dates: The deadline date for submission of applications is 11:59 p.m., Eastern Time, on
July 31, 2012. Applications that fail to meet the application due date will not be reviewed and
will receive no further consideration. You are strongly encouraged to submit your application a
minimum of 5 days prior to the application closing date. Do not wait until the last day in the
event you encounter technical difficulties, either on your end or with ***http://www.grants.gov***.
Grants.gov can take up to 48 hours to notify you of a successful submission.

An optional Technical Assistance conference will be held for potential applicants on
June 21, 2012 at 3:00 PM EST. The toll-free teleconference phone number will be:
866-707-5061 passcode 5005818.

Other key dates are:
Anticipated Issuance of Notice of Grant Awards   September 28, 2012
Anticipated Project Period Start Date   September 30, 2012

I. FUNDING OPPORTUNITY DESCRIPTION

1. Background

Elder abuse is a substantial public health problem. Available prevalence data suggest that at least 10% (or 5 million) of older Americans experience abuse each year, and many of them experience it in multiple forms.[1] In addition, data from adult protective services (APS) agencies show an increasing number of reports of elder abuse,[2] despite estimates that as few as 1 in 14 cases of elder abuse comes to the attention of authorities.[3]

The term "elder abuse" is used generally as an umbrella term to include physical abuse, neglect, financial exploitation, sexual abuse, and emotional/psychological abuse. Some states and federal statutes also include the concepts of isolation, self-neglect, and abandonment of an elder by a person who has assumed a duty to care.[4] Legal definitions of these terms vary from state to state, and there is no consistently used definition by researchers or at the federal level. The Older Americans Act, the authorizing statute for the Administration on Aging, defines the following terms:

- Abuse: "the willful (A) infliction of injury, unreasonable confinement, intimidation, or cruel punishment with resulting physical harm, pain, or mental anguish; or (B) deprivation by a person, including a caregiver, of goods or services that are necessary to avoid physical harm, mental anguish, or mental illness";
- Exploitation: "the fraudulent or otherwise illegal, unauthorized, or improper act or process of an individual, including a caregiver or fiduciary, that uses the resources of an older individual for monetary or personal benefit, profit, or gain, or that results in depriving an older individual of rightful access to, or use of, benefits, resources, belongings, or assets";
- Neglect: "(A) the failure of a caregiver or fiduciary to provide the goods or services that are necessary to maintain the health or safety of an older individual; or self-neglect"; and
- Self-neglect: "an adult's inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks including (A) obtaining essential food, clothing, shelter, and medical care; (B) obtaining goods and services

[1] Beach SR, Schulz R, Castle NG, Rosen J. Financial Exploitation and Psychological Mistreatment Among Older Adults: Differences Between African Americans and Non-African Americans in a Population-Based Survey. Gerontologist 2010.

Acierno R, Hernandez MA, Amstadter AB, Resnick HS, Steve K, Muzzy W et al. Prevalence and Correlates of Emotional, Physical, Sexual, and Financial Abuse and Potential Neglect in the United States: The National Elder Mistreatment Study. American Journal of Public Health 2010; 100(2):292-297.

[2] Teaster PB, Dugar T, Mendiondo M, Abner EL, Cecil KA, Otto JM. The 2004 Survey of Adult Protective Services: Abuse of Adults 60 Years of Age and Older. National Center on Elder Abuse: Washington, DC. Retrieved August 8, 2011 from:
http://www.ncea.aoa.gov/Main_Site/pdf/2-14-06%20FINAL%2060+REPORT.pdf

[3] National Research Council. Elder Mistreatment: Abuse, neglect and exploitation in an Aging America. Washington, D.C.: The National Academies Press, 2003.

[4] National Research Council. (2003). Elder Mistreatment: Abuse, Neglect, and Exploitation in an Aging America. Panel to Review Risk and Prevalence of Elder Abuse and Neglect. Richard J. Bonnie and Robert B. Wallace, Editors. Committee on National Statistics and Committee on Law and Justice, Division of Behavioral and Social Sciences and Education. Washington, DC: The National Academies Press.

necessary to maintain physical health, mental health, or general safety; or (C) managing one's own financial affairs".

In addition, the Older Americans Act defines caregiver as "an individual who has the responsibility for the care of an older individual, either voluntarily, by contract, by receipt of payment for care, or as a result of the operation of law and means a family member or other individual who provides (on behalf of such individual or of a public or private agency, organization, or institution) compensated or uncompensated care to an older individual".[5]

Elder abuse results in a wide range of negative health impacts, including the increased likelihood of injury and chronic health conditions, both of which are significant drivers of health care expenditures. On average, older people have more chronic diseases and access the health care system at higher rates than other age groups. Older adults who are victims of violence have additional health care problems and higher premature mortality rates than non-victims. Research indicates that older victims of even modest forms of abuse have dramatically (300%) higher morbidity and mortality rates than non-abused older people.[6] Research has also demonstrated that older adults who are victims of violence have more health care problems than other older adults, including increased bone or joint problems, digestive problems, depression or anxiety, chronic pain, high blood pressure, and heart problems.[7] In addition, victims of financial exploitation may also suffer adverse health outcomes and loss of relationships[8]. In addition, victims of elder abuse have significantly higher levels of psychological distress and lower perceived self-efficacy than older adults who have not been victimized.[9] For older victims of sexual violence the negative health impacts of abuse can be even more pronounced.

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[5] Older Americans Act of 1965 Sec. 102, 42 U.S.C. 3002 (2006). Retrieved June 7, 2012 from: http://aoa.gov/AoARoot/AoA_Programs/OAA/oaa_full.asp#_Toc153957628 .

[6] Lachs, M.S., Williams, C.S., O'Brien, S., Pillemer, K.A., & Charlson, M.E. (1998). "The Mortality of Elder Mistreatment." JAMA. 280: 428-432.

[7] Bitondo Dyer C., Pavlik V. N., Murphy K. P., and Hyman D. J. (2000). "The high prevalence of depression and dementia in elder abuse or neglect." Journal of the American Geriatrics Society. 48:205-208.

 Burt,M. and Katz, B. "Rape, Robbery, and Burglary: Responses to Actual and Feared Criminal Victimization, with Special Focus on Women and the Elderly," Victimology: An International Journal 10 (1985): 325-358.

 Mouton C. P., Espino D. V. (1999). "Problem-orientated diagnosis: Health screening in older women." American Family Physician. 59: 1835.

 Fisher, B.S., and Regan, S.L. (2006). "The Extent and Frequency of Abuse in the Lives of Older Women and Their Relationship With Health Outcomes." The Gerontologist, 46: 200-209.

 Coker, A., Davis, K., Arias, I. et al. (November 2002). "Physical and Mental Health Effects of Intimate Partner Violence for Men and Women." American Journal of Preventive Medicine. Vol. 23 No. 4: 260-268.

 Stein, M. & Barrett-Connor, E. (2000). "Sexual Assault and Physical Health: Findings from a Population-Based Study of Older Adults." Psychosomatic Medicine. Vol. 62: 838-843.

[8] Jackson, S. L., & Hafemeister, T. L. (2010, August). Financial Abuse of Elderly People vs. Other Forms of Elder Abuse: Assessing Their Dynamics, Risk Factors, and Society's Response. Retrieved from U.S. Department of Justice, National Institute of Justice on June 11, 2012: https://www.ncjrs.gov/pdffiles1/nij/grants/233613.pdf .

[9] See full article discussing the negative behavioral health consequences at: http://www.ncea.aoa.gov/NCEAroot/Main_Site/Library/Statistics_Research/Research_Reviews/emotional_distress.aspx.

 Comijs, H.C., Penninx, B.W.J.H., Knipscheer, K.P.M., & van Tilburg, W. (1999). Psychological distress in victims of elder mistreatment: The effects of social support and coping. Journal of Gerontology, 54B (4), P240-P245.

Considering these factors together, we are faced with both an economic and a public health imperative to prevent elder abuse, neglect, and exploitation.

2.   Option 1: State Elder Abuse Prevention Grants

i.   Overview

Despite growing knowledge about the scope of the problem of elder abuse and the growing body of evidence on the negative impacts of abuse, there is a significant lack of evidence and data about effective methods and practices to prevent elder abuse. Not only is there a dearth of tested prevention models, but multi-component and multi-sectoral interventions are also generally lacking across state systems. However, promising multi-disciplinary models and certain models from other family violence programs exist, and appear to be candidates for pilot testing in the field of elder abuse. [10]

Through this program, AoA intends to draw on existing research and promising practices to pilot test interventions and determine their potential utility in helping to prevent elder abuse, neglect, and exploitation. This pilot testing will also result in further understanding of elder abuse and its prevention, thereby contributing to the evidence base. Finally, this pilot seeks to facilitate improvements in existing data collection systems.

These grants will implement, test, and measure performance of new approaches for prevention of elder abuse, neglect, or exploitation and review risk factors related to elder abuse, neglect, or exploitation to enhance future prevention efforts. Identifying the strengths and weaknesses of the prevention intervention pilot projects and assessing the overall performance of these projects will help determine the likelihood of the success of their replication – an outcome that would greatly improve the ability to develop national elder abuse prevention interventions.

This program is designed to pilot test promising community-based elder abuse prevention practices. Applications must:
1. Identify the target population(s) they intend to serve
2. Provide a rationale for selecting the particular population(s)/subgroup(s)
3. Propose one elder abuse prevention intervention specifically targeted to the chosen population(s). Grants under this announcement may only fund selective preventive interventions and/or indicated preventive interventions (See **ATTACHMENT G** for a description of these).

Each grantee must choose to target its pilot project to one-to-three categories of people at risk of elder abuse, neglect, or exploitation. These categories include, but are not limited to: frail elderly persons; people with dementia; families with a history of violence;; and other specifically identified categories of people who are at high risk of being involved in elder abuse. Please see **ATTACHMENT G** for more discussion on what is known about risk factors for victimization and perpetration**.**

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[10] Pillemer, K.A.; Mueller-Johnson, K.U.; Mock, S.E.; Suitor, J.J.; & Lachs, M.S. (2007). Interventions to Prevent Elder Mistreatment. In Doll, L.; Bonzo, S.; Sleet, D.; Mercy, J.; Haas, E.N. (Eds.), *Handbook of Injury and Violence Prevention*. New York: Springer.

The pilot project that each applicant proposes must connect the intervention they plan to implement to the target population(s) they are trying to help. To help applicants determine their target population(s) and choose an intervention, **ATTACHMENT G** provides information on risk factors for elder abuse, neglect, and exploitation, and lists examples of various types of elder abuse prevention interventions. Below are five examples of target populations and related interventions; these examples are for illustrative purposes only and not exhaustive:

1. Pilot projects targeted to frail elderly persons who are suffering from neglect might involve ensuring supports for an overwhelmed family caregiver through a multi-disciplinary, team-based approach to assessment and targeting of supportive services.
2. Pilot projects targeted to persons with dementia might focus on assessment of the needs of the person with dementia and the caregiver; caregiver training, which addresses non-pharmacological approaches to managing the behavioral symptoms of dementia; and access to behavioral specialists in emergency situations.
3. Pilot projects targeted to families with a history of violence might involve intensive family counseling and temporary shelter for elders being abused, along with access to permanent supportive housing, if required.
4. Pilot projects might be targeted to healthcare and service providers for screening, detection and follow-up with potential victims of elder abuse.
5. Pilot projects might work with the court systems to provide training to guardians/conservators who have been investigated for financial exploitation on fiduciary responsibilities and proper handling of the guardian's assets.

The pilot project the applicant proposes must focus on prevention of elder abuse. The applicant must document the reasons for choosing the target population(s) it is trying to help and must document why the applicant chose the particular prevention intervention. The application must discuss:
   a) Available statistics on the types of elder abuse that occur in the pilot project's service area or state;
   b) Available information on the needs and characteristics of the target population(s);
   c) Literature on "recommended" and "promising" prevention interventions related to the types of elder abuse the pilot project is addressing. The literature may be from related fields that show promising interventions, such as family violence literature;
   d) Availability of literature and research on the design and implementation of the intervention to be piloted;
   e) Feasibility of implementing the intervention based on time and availability of funding; and
   f) Availability of administrative data that could be utilized in implementing and measuring the performance of the pilot project.

Applications must include supporting documentation and justification that the pilot project being proposed will build on existing knowledge and enhance the evidence base on elder abuse prevention interventions. Please see **ATTACHMENT G** for a summary of what is known about potential risk and protective factors for elder abuse, as well as examples of possible elder abuse prevention interventions.

The project period is three (3) years. Over the three years, AoA anticipates that the grants will generally follow the timeline below, allowing for variability depending on the length of time required to deploy the intervention:

- Months 1-12: finalizing partnerships; developing and deploying the proposed intervention; and finalizing performance measures, in collaboration with a national evaluator selected by HHS
- Months 6-30: implementation of intervention; data collection (minimum of 18 months for the intervention is required)
- Months 30-36: preparation of final report

ii.   Requirements

Logic Model

Applicants are expected to use a model for designing and managing their project. A logic model is a one-page diagram that presents the conceptual framework for a proposed project and explains the links among project elements. While there are many versions of logic models, for the purposes of this announcement the logic model should summarize the connections between the:

- • Goals of the project (e.g., objectives, target population the intervention is designed to help, reasons for proposing the intervention);
- • Assumptions (e.g., beliefs about how the project will work and its supporting resources; Assumptions should be based on research, best practices, and experience);
- • Inputs (e.g., organizational profile, collaborative partners, key staff, budget);
- • Activities (e.g., approach, describing the intervention);
- • Outputs (i.e., the direct products or deliverables of project activities); and
- • Performance measures (i.e., the results of a project).

Please see **ATTACHMENT G** for an example of a logic model.

Partnerships & Letter of Commitment

The following set of partners must be represented in the application package. Applications must include a strong letter of commitment from each of the partners (if not the applicant itself) that clearly describes their roles and contributions and/or how they will participate in the project in a meaningful and substantial way.

1. **State APS agency**. APS agencies are the primary entity in each state that receives and investigates reports of suspected elder abuse, neglect, and exploitation. APS partnership in this project is essential for two reasons. First, because these projects are targeted to prevention, APS is well positioned to play a key role in offering the intervention to those individuals in cases where they investigate allegations of abuse. Second, APS administrative data will be required from grantees for purposes of data collection and to help assess the performance of the prevention pilot project. Applications and letters of

support must clearly demonstrate that APS agrees to cooperate in (a) referring clients to the project, as appropriate per the protocol established by the grantee and (b) providing access to APS administrative data (see below). Applicants must submit a letter or letters from APS that demonstrate commitments from the APS office that will be providing access to the state APS administrative data, as well as the APS agency agreeing to cooperate at the local-level with the implementation of the intervention.

2. **State Unit on Aging**. Elder abuse is a primary concern of the aging network service providers who work with older adults on a daily basis to help them remain independent in their homes and communities as long as they wish. Despite other social services that older adults may receive to maintain health and independence, the experience of elder abuse, neglect, and exploitation undermines those efforts. Because the targeted cohort for these interventions is older adults, and because the pilot project has broad implications for the statewide planning efforts around elder abuse prevention, applicants must demonstrate that the State Unit on Aging is actively and meaningfully involved in the project. Such participation may include serving on an advisory group; providing access to seniors through aging network programs; or by making available the site for the project, such as a senior center.

3. Applications should include a strong connection with adult protective services and must have a partnership in place with the **justice system** to ensure appropriate connection with legal services organizations for victims of elder abuse, exploitation, or neglect, and to facilitate reports, if any, to law enforcement of suspected criminal activity by perpetrators. Applicants should describe their approach, including who within the law enforcement and legal services communities will participate and the nature of that participation, including their role in the prevention strategies to be tested in the pilot projects. Evidence of these partnerships should be provided. In addition, if the proposed prevention intervention involves any other component of the justice system, then the applicant must include a strong letter of commitment from those entities identified as partners.

4. Applications should include letters of commitment/collaboration from other partners that are specifically identified by name as having a key role in the design and/or implementation of the pilot project.

Project Performance

As noted above, a major purpose of this grants program is to demonstrate the feasibility of implementing elder abuse, neglect, or exploitation prevention interventions. HHS will be conducting an evaluation of the individual projects receiving grant funding through this opportunity, as well as the overall initiative, to build new knowledge about promising elder abuse prevention interventions. Grantees must agree to cooperate with the identified national evaluation put forth by HHS. These evaluations often require submission of qualitative and quantitative data and other types of activities.

In addition, the national evaluator will provide technical assistance to grantees as they work to improve their data collection systems related to characteristics of victims and perpetrators of elder abuse. This evaluator also will work with grantees to identify performance measures. AoA, in consultation with the national evaluator, must approve the data collection methodologies and performance measures. Grantees will be expected to work with and provide the required data to HHS and its national evaluator:

1. From the start of the grant, grantees will collaborate with AoA, HHS, and its national evaluator to develop a core set of data on the individual characteristics of victims and perpetrators of abuse that all projects will use, as well as project performance measures. This will facilitate the evaluation and set up these projects for robust data collection efforts related to furthering knowledge about elder abuse.

2. Grantees will provide HHS and the national evaluator with state and local-level APS administrative data for the community/communities where the intervention is employed, including data that captures risk factors for abuse, neglect, and exploitation and project performance measures. These data will be used to build the body of knowledge around risk factors for abuse and to determine project performance. Grantees will work with HHS and the national evaluator to develop appropriate consent and disclosure materials to facilitate this release of administrative data.

3. Grantees will provide HHS with reports on their data on the same intervals as the semi-annual reports. Grantees will also cooperate with HHS during periodic quality control reviews of the data.

In addition to providing data as noted, grantees will be expected to produce a final report that will discuss the logic model employed for the pilot project, discuss the implementation of the pilot project, discuss the performance of the project, and identify the successes and limitations of implementing the chosen intervention for its target population(s). In addition, the report will provide the grantee's assessment on whether or how the intervention should be replicated.

3.   Option 2: Native American Elder Abuse Prevention Grants

i.   Overview

Although states and communities across the country have developed policies and programs to address elder abuse, little is known about elder abuse in Indian Country. Existing literature and accounts by Indian elders and their families, tribes, and advocates suggest that it is a serious and pervasive problem. There are no national studies on elder abuse in Indian Country, and only a few, Tribal-specific studies have been conducted, resulting in an incomplete understanding of the nature, causes, consequences, and effective prevention and intervention activities with Tribal elders.[11] However, the experiences of Indian elders with abuse, and their attitudes about what

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[11] U.S. Administration on Aging. (2005). **Elder Abuse in Indian Country**. Washington, D.C: Office for American Indian, Alaskan Native, and Native Hawaiian. Programs. Retrieved from: http://www.ncea.aoa.gov/NCEAroot/Main_Site/pdf/Elder_Abuse_issues_in_Indian_Country_June2005.pdf

should be done to address it, appear to differ from those of non-Indian elders, suggesting the need for new prevention strategies.[12]

In 2004 and 2005, the U.S. Administration on Aging funded two projects to explore the needs of Indian elders as related to the problems of elder abuse, neglect, and exploitation. The first report was completed by the NCEA in collaboration with the National Indian Council on Aging. Among the findings were the following:

    a) Differing spheres of authority between tribal and non-tribal entities make it difficult to fully address suspected cases of abuse, neglect, or exploitation, and that strategies for improving such coordination ought to be developed;

    b) There is a lack of awareness within Indian Country of elder abuse, neglect, and exploitation. Materials and activities should be developed specifically for Tribes that are culturally appropriate to Tribal perceptions of abuse and Tribal values.[13]

The second project was conducted by AoA's Office for American Indian, Alaskan Native, and Native Hawaiian Programs in 2005. This project compiled information from Tribal judges and Older Americans Act Title VI Tribal grantees. The information provided by the respondents closely resembled the study released one year earlier by the NCEA. Respondents observed that Tribal and non-Tribal entities do not coordinate well (or at all) in responding to allegations of abuse, neglect, and exploitation. Significantly, respondents stated that there exists within Indian Country a widespread lack of community awareness, education, and training in all aspects of elder maltreatment. The following were among the recommendations provided by respondents to improve prevention and response to abuse, neglect, and exploitation in Indian Country:

    a) Develop materials that are culturally specific for Tribes; and

    b) Gather and widely disseminate to Tribes information on best practices in Indian Country.

In order to bring attention to needed prevention interventions, AoA is announcing the Native American Elder Abuse Prevention Grants. These grants are intended to develop or test elder abuse, neglect, or exploitation prevention interventions in Indian Country. It is expected that activities carried out under this opportunity address at least one (1) of the needs identified in the two reports referred to above on elder abuse in Indian Country, such as:

    a) Identifying, developing, and disseminating information and strategies on effective collaborations between tribal and non-tribal entities to address suspected cases of abuse, neglect, or exploitation;

    b) Identifying, developing, and disseminating informational materials for professionals and Tribal members on elder abuse, neglect, and exploitation that are culturally appropriate;

    c) Identifying, developing, disseminating, and providing training to Tribal professionals and other professionals working with Tribal entities on elder abuse, neglect, and exploitation;

    d) Identifying and testing a culturally appropriate existing elder abuse screening tools.

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[12] National Indian Council on Aging. (2004). Preventing and Responding to Abuse of Elders in Indian Country. Washington, D.C: National Center on Elder Abuse. Retrieved from: http://www.ncea.aoa.gov/NCEAroot/Main_Site/pdf/whatnew/abuseindian040707.pdf

[13] *Ibid.*

Applicants should clearly identify the need to which their proposal responds, and provide a justification for the prioritization of that need and the corresponding activity they propose to undertake. Applicants should be sure to identify the duration, frequency, and level of effort for conducting the proposed activities in order to benefit the target audience, as well as the expected results of the proposed activities and the corresponding performance metrics.

ii.   Requirements

Logic Model

Applicants are expected to use a model for designing and managing their project. A logic model is a one-page diagram that presents the conceptual framework for a proposed project and explains the links among project elements. While there are many versions of logic models, for the purposes of this announcement the logic model should summarize the connections between the:

- Goals of the project (e.g., objectives, reasons for proposing the intervention);
- Assumptions (e.g., how the project will work and its supporting resources; Assumptions should be based on research, best practices, and experience);
- Inputs (e.g., organizational profile, collaborative partners, key staff, budget);
- Activities (e.g., approach, describing the intervention);
- Outputs (i.e., the direct products or deliverables of project activities); and
- Performance measures (i.e., the results of a project).

Please see **ATTACHMENT G** for an example of a logic model.

Partnerships & Letter of Commitment

Applications must include with submission a strong letter of commitment from each of the major partners that clearly describes what each partner will contribute and/or how they will participate in the project in a meaningful and substantial way.

1. Grantees under this Option are required to partner with a tribal college, academic institution, or other organization that has sufficient capacity to provide adequate guidance and consultation during the planning and implementation of the proposed elder abuse prevention intervention. AoA recognizes that not all Tribes or Tribal organizations have the capacity to quickly develop, design, and implement an elder abuse prevention intervention. For this reason, and to help ensure success, applicants are required to identify a tribal college, academic institution, or other organization with whom they must consult, if they do not have in-house capacity, during the design and implementation of the project. The letter of commitment/collaboration should be from the principal researcher at the institution or organization who has been identified to work with the applicant. The letter should include the credentials of the research group or organization and their capacity to provide adequate guidance and consultation for the duration of the project.

2. Applicants should include letters of commitment/collaboration from other groups that are specifically identified by name as having a key role in the design or implementation of the project.

Performance Measures

Applications must clearly identify the potential performance measures that will help assess pilot project performance. This section should also describe how the project's findings might benefit the field at large; such as how the findings could help other organizations throughout the nation implement elder abuse prevention interventions. Applications should keep the focus of this section on describing **what** performance measures could be produced by the project.

4.   Statutory Authority

The statutory authority for cooperative agreements with states under Option 1 of this Program Announcement is contained in Section 2042 of the Patient Protection and Affordable Care Act. The statutory authority for cooperative agreements under Option 2 of this Program Announcement is contained in Section 411 of the Older Americans Act. Funding for both Options is authorized under Section 4002 of the Affordable Care Act (PPHF).

II.   AWARD INFORMATION

1.   Option 1: State Elder Abuse Prevention Grants

Award Mechanism: Cooperative Agreements
Fiscal Year Funds: 2012
Approximate Current Fiscal Year Funding: $5.05 million (This amount is an estimate, and is subject to availability of funds. This includes direct and indirect costs.)
Approximate Number of Awards: 5-8
Approximate Size of Individual Awards: Range from $625,000 – $1,020,000
Budget Period Length: Three-year budget period
Project Period Length: Three years

Under this competition, the Administration on Aging will award five to eight cooperative agreements ranging from $625,000 - $1,020,000 each for a three-year period to test elder abuse prevention interventions. Final award decisions will be made by AoA and will be based on recommendations of the review panel (See Section V); reviews for programmatic and grants management compliance; geographic distribution, and the reasonableness of the estimated cost to the government considering the available funding and anticipated results.

This is a new cooperative agreement. AoA will be substantially involved in the Elder Abuse Prevention Grants (described in Section I. Funding Opportunity Description) by participating in planning, implementation, and evaluation of grant activities, which will be determined by the

needs and priorities of the Administration on Aging and the grantee. The cooperative agreement will include the following terms:

As provided by the terms of the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224), this Cooperative Agreement provides for the substantial involvement and collaboration of AoA in activities that the recipient organization will carry out in accordance with the provisions of the approved grant award.

The grantee agrees to execute the responsibilities outlined below:

1. Fulfill all of the requirements of the grant initiative as outlined in this program announcement, as well as carry out project activities as reviewed, approved, and awarded.

2. Collaborate with AoA, HHS, and its national evaluator on the development of enrollment materials, appropriate consent documents, the collection and reporting of data, including data on performance measures and APS administrative data, on a semi-annual basis. Grantees will be expected to work with the AoA, HHS, the national evaluator and other grantees working on similar projects to refine strategies and reporting benchmarks for additional, intervention-specific data.

3. Work cooperatively and in good faith with AoA, HHS, the national evaluator, and technical assistance partners at the state or local level, and other AoA designated entities involved in the development, implementation and evaluation of the project.

4. Cooperate with federal evaluation and data collection efforts. These evaluations often require submission of qualitative and quantitative data and other types of activities.

5. Collaborate with AoA in the execution of the work plan, and in understanding the programmatic and budgetary issues of the project. Based on these negotiations and emerging issues in the field, if necessary, the grantee will revise the project work plan and/or budget detailing expectations for major activities during the grant period, with AoA approval.

6. Meet with the AoA project officer at least once each quarter, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.

7. Submit to the AoA project officer a final, clean copy of all data developed or supported with these grant funds, in the format in which it was developed or produced, as provided for in the HHS Grants Policy Statement (http://www.hhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf) and referenced in the Notice of Award. The HHS Grants Policy Statement defines "data" as: "recorded information, regardless of the form or media on which it may be recorded, and includes writings, films, sound recordings, pictorial reproductions, drawings, designs or other graphic representations, procedural manuals, forms, diagrams, work flow charts,

equipment descriptions, data files, data processing or computer programs (software), statistical records, and other research data" (p. II-69, Footnote 18).

8. Include the following disclaimer on all products produced using grant funding for the NCEA:

    "This (report/document/etc.) was supported in part by a cooperative agreement (No. XXX) from the Administration on Aging (AoA), Administration for Community Living (ACL), U.S. Department of Health and Human Services (DHHS). Grantees carrying out projects under government sponsorship are encouraged to express freely their findings and conclusions. Therefore, points of view or opinions do not necessarily represent official AoA, ACL, or DHHS policy."

The AoA project officer agrees to execute the responsibilities outlined below:

1. Perform the day-to-day Federal responsibilities of managing a grant initiative and will work with the grantee to ensure that the minimum requirements for the grant are met.

2. Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the grantee project, and, as necessary, negotiate with grantee to achieve a mutually agreed upon solution to any needs identified by the grantee or AoA.

3. Assist the grantee project leadership in understanding the priorities of the elder abuse prevention initiative, AoA, ACL, and DHHS by conducting periodic briefings and by carrying out ongoing consultations. AoA will also share information with the grantee about other federally sponsored projects and activities relevant to the interests of the grantees and their activities.

4. Provide technical advice to the grantee on the provision of technical support and associated tasks related to the fulfillment of the goals and objectives of this grant.

5. Provide technical advice on grantee work products to ensure they are accurate, objective, unbiased, and of high professional quality, and that they do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the AoA project officer a copy of the final product, and within 15 business days, the AoA project officer will provide guidance and feedback on whether the product meets the requirements set forth in the program announcement.

6. Provide consultation to the grantee in identifying emerging issues and modifying workplan priorities as necessary as they relate to the goals and objectives of the grant program.

7. Attend and participate in major project events as appropriate.

8. Meet with the grantee project director at least once each quarter, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.

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

2. Option 2: Native American Elder Abuse Prevention Grants

Award Mechanism: Cooperative Agreements
Fiscal Year Funds: 2012
Approximate Current Fiscal Year Funding: $500,000 (This amount is an estimate, and is subject to availability of funds. This includes direct and indirect costs.)
Approximate Number of Awards: 2-3
Approximate Size of Individual Awards: Range from about $150,000 – $250,000
Budget Period Length: Three-year budget period
Project Period Length: Three years

Under this competition, AoA will award two to three cooperative agreements ranging from $150,000 - $250,000 for a three-year period to develop and/or test elder abuse, neglect, or exploitation prevention interventions in Indian Country. Final award decisions will be made by AoA and will be based on recommendations of the review panel (See Section V); reviews for programmatic and grants management compliance; geographic distribution, the reasonableness of the estimated cost to the government considering the available funding and anticipated results.

This is a new cooperative agreement. AoA will be substantially involved in the Native American Elder Abuse Prevention Grants (as described in Section I. Funding Opportunity Description) by participating in planning, implementation, and evaluative activities, which will be determined by the needs and priorities of the grantee and the Administration on Aging. The cooperative agreement will include the following terms:

As provided by the terms of the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224), this Cooperative Agreement provides for the substantial involvement and collaboration of AoA in activities that the recipient organization will carry out in accordance with the provisions of the approved grant award.

The grantee agrees to execute the responsibilities outlined below:

1. Fulfill all of the requirements of the grant initiative as outlined in this program announcement, as well as carry out project activities as reviewed, approved, and awarded.

2. Collaborate with the Administration on Aging (AoA) in the execution of the work plan, and collaborate with AoA in understanding the programmatic and budgetary issues of the project. Based on these negotiations and emerging issues in the field, if necessary, the grantee will revise the project work plan and/or budget detailing expectations for major activities and products during the grant period, with AoA approval.

3. Meet with the AoA project officer at least once each quarter, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.

4. Produce products and/or materials under this award that are accurate, objective, unbiased, culturally appropriate, and of high professional quality, and that do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the AoA project officer a copy of the final product in order for the AoA project officer to have at least 15 business days to ensure the product meets the requirements set forth in the program announcement.

5. Submit to the AoA project officer a final, clean copy of all data developed or supported with these grant funds, in the format in which it was developed or produced, as provided for in the HHS Grants Policy Statement (http://www.hhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf) and referenced in the Notice of Award. The HHS Grants Policy Statement defines "data" as: "recorded information, regardless of the form or media on which it may be recorded, and includes writings, films, sound recordings, pictorial reproductions, drawings, designs or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other research data" (p. II-69, Footnote 18).

6. Include the following disclaimer on all products produced using grant funding:

"This (report/document/etc.) was supported in part by a cooperative agreement (No. XXX) from the Administration on Aging (AoA), Administration for Community Living (ACL), U.S. Department of Health and Human Services (DHHS). Grantees carrying out projects under government sponsorship are encouraged to express freely their findings and conclusions. Therefore, points of view or opinions do not necessarily represent official AoA, ACL, or DHHS policy."

The AoA project officer agrees to execute the responsibilities outlined below:

1. Perform the day-to-day Federal responsibilities of managing a grant initiative and will work with the grantee to ensure that the minimum requirements for the grant are met.

2. Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the grantee project, and, as necessary, negotiate with grantee to achieve a mutually agreed upon solution to any needs identified by the grantee or AoA.

3. Assist the grantee project leadership in understanding the priorities of the grant program, AoA, ACL, and DHHS by conducting periodic briefings and by carrying out ongoing consultations. AoA will also share information with the grantee about other federally sponsored projects and activities relevant to the interests of the grantees and their activities.

4. Provide technical advice to the grantee on tasks related to the fulfillment of the goals and objectives of this grant.

5. Provide technical advice on grantee work products to ensure they are accurate, objective, unbiased, culturally appropriate, and of high professional quality, and that they do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the AoA project officer a copy of the final product, and within 15 business days, the AoA project officer will provide guidance and feedback on whether the product meets the requirements set forth in the program announcement.

6. Provide consultation to the grantee in identifying emerging issues and modifying workplan priorities as necessary as they relate to the goals and objectives of the initiative.

7. Attend and participate in major project events as appropriate.

8. Meet with the grantee project director at least once each quarter, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.

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

III. ELIGIBILITY INFORMATION

1. Option 1: State Elder Abuse Prevention Grants

i. Eligible Applicants

State government entities are eligible to apply under this program announcement. An entity may apply for only one (1) Option. Applicants must demonstrate the skills and experience outlined in Section III(1)(iii) below to be considered for funding under Option 1 of this program announcement.

ii. Cost Sharing or Matching

No match or cost sharing is required for these grants.

iii.   Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications will be reviewed to determine whether they meet the following responsiveness criteria. Those that do not will be administratively eliminated and will not be reviewed.

The applicant appears to have demonstrated:
   a) An elder abuse prevention intervention proposal in accordance with the requirements described in Section I;
   b) Signed letters of commitment from each of the required partners listed in Section I; and
   c) Applicant serves as the central, core, and active partner in the initiative and does not simply serve as a conduit for pass-through funding to sub-contractors or sub-grantees.

Application Screening Criteria

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

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

   1.   Applications must be submitted electronically via http://www.grants.gov by 11:59 p.m., Eastern Time, **July 31, 2012**.

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

   3.   **The Project Narrative must not exceed 30 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 30-page limit.

   4.   The **Project Workplan** and **Budget** provide information for the entire three (3) year period.

   5.   The application has met the **Responsive Criteria** outlined above.

   6.   SF-424, box 15 should identify the specific Option for which you are applying

Unsuccessful submissions will require authenticated verification from ***http://www.grants.gov*** indicating system problems existed at the time of your submission. For example, you will be required to provide an ***http://www.grants.gov*** submission error notification and/or tracking number in order to substantiate missing the application deadline.

2.   Option 2: Native American Elder Abuse Prevention Grants

i.   Eligible Applicants

Federally recognized Tribes and Tribal organizations representing federally recognized tribes are eligible to apply. An entity may apply for only one (1) Option. Applicants must demonstrate the skills and experience outlined in Section III(2)(iii) below to be considered for funding under Option 2 of this program announcement.

ii.   Cost Sharing or Matching

No match or cost sharing is required for these grants.

iii.   Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications will be reviewed to determine whether they meet the following responsiveness criteria. Those that do not will be administratively eliminated and will not be reviewed.

The applicant appears to have demonstrated:
a) An elder abuse prevention intervention proposal in accordance with the requirements in Section I;
b) Signed letters of commitment from each of the required partners listed in Section I; and
c) Applicant serves as the central, core, and active partner in the initiative and does not simply serve as a conduit for pass-through funding to sub-contractors or sub-grantees.

Application Screening Criteria

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

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

1.   Applications must be submitted electronically via http://www.grants.gov by 11:59 p.m., Eastern Time, **July 31, 2012**.

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

3.   **The Project Narrative must not exceed 30 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 30-page limit.

4. The **Project Workplan** and **Budget** provide information for the entire three (3) year period.

5. The application has met the **Responsive Criteria** outlined above.

6. SF-424, box 15 should identify the specific Option for which you are applying.

IV.   APPLICATION AND SUBMISSION INFORMATION

1.   Address to Request Application Package

Application materials can be obtained from http://www.grants.gov or http://www.aoa.gov/AoARoot/Grants/Funding/index.aspx.

Please note, AoA is requiring applications for all announcements to be submitted electronically through http://www.grants.gov. The Grants.gov (http://www.grants.gov) registration process can take several days. If your organization is not currently registered with http://www.grants.gov, please begin this process immediately. **For assistance with http://www.grants.gov, please contact them at** support@grants.gov **or 1-800-518-4726 between 7 a.m. and 9 p.m. Eastern Time.** At http://www.grants.gov, you will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website (http://www.grants.gov).

Applications submitted via http://www.grants.gov:

- You may access the electronic application for this program on http://www.grants.gov. You must search the downloadable application page by the Funding Opportunity Number (HHS-2012-AoA-EA-1214) or CFDA number (93.747).
- At the http://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. AoA strongly recommends that you do not wait until the application due date to begin the application process through http://www.grants.gov because of the time involved to complete the registration process.
- All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and register in the Central Contractor Registry (CCR). You should allow a minimum of **five days** to complete the CCR registration.
- **Note**: Failure to submit the correct suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) **or receive subawards directly from the recipients of those grant funds** to:
  1. Be registered in the CCR prior to submitting an application or plan;
  2. Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
  3. Provide its DUNS number in each application or plan it submits to the OPDIV.

An award cannot be made until the applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the OPDIV/STAFFDIV:

- May determine that the applicant is not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

Additionally, all first-tier subaward recipients must have a DUNS number at the time the subaward is made.

- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. It is entered on the SF 424. It is a unique, **nine-digit identification number**, which provides unique identifiers of single business entities. The DUNS number is *free and easy* to obtain.
- Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link to access a guide: http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf.
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.
- Prior to application submission, Microsoft Vista and Office 2007 users should review the http://www.grants.gov compatibility information and submission instructions provided at http://www.grants.gov (click on "**Vista and Microsoft Office 2007 Compatibility Information**").
- **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 http://www.grants.govthat contains http://www.grants.gov tracking number. The Administration on Aging will retrieve your application form from http://www.grants.gov.
- After the Administration on Aging retrieves your application form from http://www.grants.gov, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by http://www.grants.gov.
- Each year organizations registered to apply for Federal grants through http://www.grants.gov will need to renew their registration with the Central Contractor Registry (CCR). You can register with the CCR online and it will take about 30 minutes (http://www.ccr.gov).

Contact person regarding this Program Announcement:
    Option 1:
    U.S. Department of Health and Human Services
    Administration for Community Living
    Administration on Aging
    Washington, DC 20201
    Attn: Stephanie Whittier Eliason

E-mail: stephanie.whittiereliason@aoa.hhs.gov

Option 2:
U.S. Department of Health and Human Services
Administration for Community Living
Administration on Aging
Washington, DC 20201
Attn: Margaret Graves
e-mail: Margaret.Graves@aoa.hhs.gov

2.   Content and Form of Application Submission

i.   Project Narrative

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

The components of the Project Narrative counted as part of the 20 page limit include:
1. Summary/Abstract
2. Problem Statement
3. Goal(s) and Objective(s)
4. Target Population
5. Proposed Intervention
6. **Partnerships and Collaboration**
7. Performance Measures
8. Project Management
9. Organizational Capability
10. Other Items

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether or not your project meets the minimum requirements for grants under the Older Americans Act and the Affordable Care Act. The Project Narrative should provide a clear and concise description of your project and must be based only on the Option for which you are applying. Your project narrative must include the following components:

1. Summary/Abstract.
This section should include a brief - no more than 265 words maximum - description of the proposed project, including: goal(s), objectives, target population(s) and one related intervention, performance measures, and products to be developed. Detailed instructions for completing the summary/abstract are included in Attachment F of this document.

2. Problem Statement.

This section should describe, in both quantitative and qualitative terms, the nature and scope of the population(s) that the elder abuse prevention intervention will target and relate the discussion of the chosen intervention back to the target population(s) through a description of the underlying research. It should detail how the project will potentially affect the targeted elderly population(s), their caregivers, specific subgroups within those populations, and possibly the health care, social services, and legal systems (e.g., the use of health care and/or nursing home services.) **It is recommended that applicants focus their problem statement on the specific aspects of the history, extant literature and research, current status, and policy considerations bearing on the development of the elder abuse prevention intervention and the population(s) it targets, as well as the roles of the national, state, and local agencies responsible for their operation as it pertains to their proposed activities**, rather than providing a broad or sweeping historical overview that is not directly related to the proposed intervention and activities.

3. Goals and Objectives.

This section should consist of a description of the project's goal(s) and major objectives with respect to the Option for which you are applying. We recommend you have only one overall goal.

4. Target Population

This section should identify the target group or groups for the pilot intervention, explain concisely what is known about the characteristics of individuals in the target group, and provide a rationale for selecting the intervention for the targeted group(s). This section should also describe if and how the proposed intervention will target disadvantaged populations, including the limited English speaking population.

5. Proposed Intervention.

This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in the "Problem Statement" above. The intervention should be specific to the population(s) to which it is targeted. Applicants are expected to explain the rationale for using the particular intervention and to present a clear connection between the relevant research and the proposed activities and target population(s). Proposals should detail the nature of the activities to be undertaken, how they address identified issues, their relation to existing programs and services, and how they will assist in achieving the overall project goals and objectives. Clarification as to why these specific activities were selected is appropriate (i.e. how has this approach been successful in other settings? How does the research suggest this particular direction?). Also note any major barriers you anticipate encountering and how your project will be able to overcome those barriers. At minimum, applicants should:

1. Propose a clear elder abuse prevention intervention proposal in accordance with the requirements in Section I of this announcement
2. Clearly identify the link between the proposed intervention and relevant research, knowledge, and information substantiating it, including information relevant to the population(s) the intervention targets

3. Include a well-defined logic model detailing the connections between all aspects of the project.

6. Partnerships and Collaboration.
This section should describe how you plan to involve the required partners listed in Section I and other community-based organizations in a meaningful way in the planning and implementation of the proposed intervention.

7. Performance Measures.
This section of the project narrative must clearly identify the potential performance measures that will help assess pilot project performance. This section should also describe how the project's findings might benefit the field at large, such as how the findings could help other organizations throughout the nation implement elder abuse prevention interventions. You should keep the focus of this section on describing **what** performance measures could be produced by the project.

8. Project Management.
This section should include a clear delineation of the roles and responsibilities of project staff and subrecipients and how they will contribute to achieving the project's goals, objectives, and tasks. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress, preparation of reports; and 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. AoA expects that throughout the grant period, the Project Director will have involvement in, and substantial knowledge about, all aspects of the project.

9. 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. **Neither vitas nor an organizational chart will count towards the narrative page limit.** Also include information about all contractual and/or supportive staff/organization(s) that will have a role(s) in implementing the project and achieving project goals.

10. Other Items
a) Work Plan
The Project Work Plan should reflect, and be consistent with, the Project Narrative and Budget, and must cover all three (3) years of the project period. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks, action steps, or products that will be pursued or developed to achieve the goal, objectives, and tasks. For each major task, action step, or product the work plan should identify

timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the Sample Work Plan format included in Attachment E. There are no page limits for completing the WorkPlan.

b) Letters of Commitment from Subrecipient Organizations and Agencies

Letters of Commitment are required for organizations or entities that have been specifically named as a subrecipient or partner to carry out any aspect of the project. The letters of commitment must be on the partnering organization's letterhead, be signed by the party authorized to make the commitment, and clearly specify the role and resources/activities that will be provided in support of the applicant and project. The organization's expertise, experience, and access to the targeted population(s) should also be described in the letter of commitment. For applications submitted electronically via http://*www.grants.gov*, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may fax them to the AoA Office of Grants Management at 202-357-3467 by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

c) Budget Narrative/Justification

The Budget Narrative/Justification should be provided using the format included as Attachment C of this Program Announcement. Applicants are encouraged to pay particular attention to Attachment C, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required. **Please Note:** Because the proposal must demonstrate a clear and strong relationship between the stated objectives, project activities, and the budget, the budget justification should describe the cost estimated per project, activity, or product under the Option for which you are applying. This budget justification should define the amount of work that is planned and expected to be performed.

3.   Submission Dates and Times

The deadline for the submission of applications under this Program Announcement is **July 31, 2012**. Applications must be submitted electronically by 11:59 p.m. Eastern Time, July 31, 2012.

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with ***http://www.grants.gov***. Grants.gov can take up to 48 hours to notify you of a successful submission.

Unsuccessful submissions will require authenticated verification from ***http://www.grants.gov*** indicating system problems existed at the time of your submission. For example, you will be required to provide an ***http://www.grants.gov*** submission error notification and/or tracking number in order to substantiate missing the cut off date.

Grants.gov (http://*www.grants.gov*) will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in http://*www.grants.gov*. After the Administration on Aging retrieves your application form from http://*www.grants.gov*, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by http://*www.grants.gov*.

4. Intergovernmental Review

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

5. Funding Restrictions

The following activities are not fundable:
- Construction and/or major rehabilitation of buildings
- Basic research (e.g. scientific or medical experiments)
- Continuation of existing projects without expansion; no funds under this FOA are allowed to supplant existing resources
- Pre-award costs

V. APPLICATION REVIEW INFORMATION

1. Criteria

Applications are scored by assigning a maximum of 100 points across four criteria:
- A. Purpose and Need for Assistance - (15 points);
- B. Approach/Method - Work Plan and Activities - (45 points);
- C. Performance Measures - (10 points); and
- D. Level of Effort - (30 points).

A. Purpose and Need for Assistance   Weight: 15 points

    i.   Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to its purposes for which the applicant is applying? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? Does the applicant demonstrate a familiarity with the history, extant literature, current status, and policy considerations pertinent to the development and implementation of elder abuse prevention interventions and the roles of the national, state, and local agencies responsible for their operation? Does the applicant demonstrate knowledge and understanding of the needs of the identified target population? (15 points)

B. Approach, Work Plan, and Activities   Weight: 45 points

Approach (30 points)**:**

i. Is the population(s) to which the intervention is targeted clearly defined and is compelling evidence presented that the group(s) is/are at high risk for elder abuse and neglect?

ii. Is the intervention itself clearly defined and does the application include a logic model and a description of the intervention that reflects a coherent, feasible, and well-substantiated approach for successfully developing and implementing the elder abuse prevention intervention?

iii. Does the project take into account barriers and opportunities that exist in the larger environment that may have an impact on the project's success?

iv. Does the proposed intervention build on existing evidence and research in the field of elder abuse and related fields, such as gerontology, psychology, and family violence?

v. Will the proposed project advance knowledge in the field of elder abuse?

vi. Does the proposed approach include appropriate partnerships with other entities in the community that can contribute to the success for the intervention?

Workplan (15 points):

vii. Is the project work plan clear and comprehensive and based on the target population(s) and intervention for which the applicant is applying?

viii. Does it include sensible and feasible timeframes and milestones for the accomplishment of tasks presented?

ix. Does the work plan include specific objectives and tasks that are linked to the chosen target population(s) and intervention?

x. Are the roles and responsibilities of project staff and subgrantees/subcontractors clearly defined and linked to specific objectives and tasks?

xi. Does the proposal include a clear and coherent management plan?

C. Project Performance Measures   Weight: 10 points

i. Does the applicant provide detailed descriptions of potential performance measures proposed for development or modification?

ii. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purposes of the pilot project?

D. Level of Effort: Weight: 30 points

i. Do the proposed project director(s), key staff, and subrecipients have the background, experience, and other **qualifications** required to carry out their designated roles, as described in Section I of the program announcement? Does the applicant demonstrate expert knowledge concerning elder abuse, neglect, and exploitation and the requisite organizational capacity to carry out the activities of the proposed intervention? Does the applicant demonstrate their qualifications specific to the Option under which they are applying? (10 points)

ii. Is the **level of effort** of the project staff, consultants, and/or subrecipients appropriate and adequate to carryout the project? Are Letters of Commitment from collaborating 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? (10 points)

iii. Does the application adequately describe the budget, budget narrative, and budget justification, as requested in the project narrative? Does the budget justification provide a detailed breakdown of cost per project, activity, or product? Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items clearly delineated and consistent with work plan objectives? Is the project cost-effective and programmatically efficient, maximizing Federal and all other resources? (10 points)

2. Review and Selection Process

An independent review panel of at least three individuals will evaluate applications that pass the screening and meet the responsiveness criteria if applicable. These reviewers are experts in their fields, and are drawn from academic institutions, non-profit organizations, state and local government, and Federal government agencies. Based on the Application Review Criteria as outlined under Section V.1, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria.

In making awards, the AoA 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 geographic distribution of the awards.

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

Successful applicants will receive an electronic Notice of Award (NOA). The NOA is the authorizing document from the U.S. Administration on Aging authorizing official, Office of Grants Management, and the AoA Office of Budget and Finance. Acceptance of this award is signified by the drawdown of funds from the Payment Management System.   Unsuccessful applicants are generally notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail or U.S. mail. Unless indicated otherwise in this announcement, unsuccessful applications will not be retained by the agency and will be destroyed.

Also, the NOA will incorporate, by reference or by direct term and condition, the FY 2012 appropriation act provisions (Titles II and V of Division F of the Consolidated Appropriations Act, Pub. L. 112-74 [dated 12/23/2011] and Agriculture Appropriations Act PL 112-55) and requires that you adhere to all the requirements therein including those such as: Caps on Extramural Salaries, Gun Control, Lobbying, and Needle Exchange, and others as appropriate.

2. Administrative and National Policy Requirements

HHS recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions contained in applicable Department of Health and Human Services (HHS) Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grants administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts. The awards will be subject to DHHS Administrative Requirements, which can be found in 45CFR Part 74 and 92 and the Standard Terms and Conditions, included in the Notice of Award as well as implemented through the HHS Grants Policy Statement located at *http://www.hhs.gov/grantsnet/adminis/gpd/index.htm*.

3. Reporting

Effective March 1, 2011, AoA requires the submission of the SF-425 (Federal Financial Report). The reporting cycle will be reflected in the Notice of Award. The AoA program progress report is due semi-annually from the start date of the award and is due within 30 days of the reporting period end date. The final progress report and SF-425 reports are due 90 days after the end of the project period. The suggested content and format for these reports will be available to grantees post award administration.

Grantees are required to complete the federal cash transactions portion of the SF-425 within the Payment Managements System as identified in their award documents for the calendar quarters ending 3/31, 6/30, 9/30, and 12/31 through the life of their award. In addition, the fully completed SF-425 will be required as denoted in the Notice of Award terms and conditions.

4. FFATA and FSRS Reporting

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (http://www.FSRS.gov) for all sub-awards and sub-contracts issued for $25,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

For further guidance, please see the following link:
http://www.aoa.gov/AoARoot/Grants/Reporting_Requirements/index.aspx

5. PPHF Reporting

Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and the time of disbursement of funds, the Federal award number, and CFDA number 93.747 for 2012 PPHF fund purposes, and amount of PPHF funds.

Recipient agrees to report on the following: This award requires the recipient to complete projects or activities which are funded under the 2012 Prevention and Public Health Fund

(PPHF) and to report on use of PPHF funds provided through this award. Information from these reports will be made available to the public.

Recipients awarded a grant, cooperative agreement, or contract from such funds with a value of $25,000 or more shall produce reports on a semi-annual basis with a reporting cycle of January 1 – June 30 and July 1 – December 31; and email such reports (in 508 compliant format) to the HHS grants management official assigned to the grant or cooperative agreement no later than 20 calendar days after the end of each reporting period (i.e., July 20 and January 20, respectively). Recipient reports shall reference the notice of award number and title of the grant or cooperative agreement, and include a summary of the activities undertaken and identify any sub-grants or sub-contracts awarded (including the purpose of the award and the identity of the [sub] recipient).

6.   Additional General Provisions

Cap on Researcher Salaries - None of the funds appropriated in this program shall be used to pay the salary of an individual, through a grant, cooperative agreement or other extramural mechanism, at a rate in excess of Executive Level II (capped at $179,700).

Gun Control Prohibition - None of the funds appropriated in this program may be used, in whole or in part, to advocate or promote gun control.

Needle Exchange - Notwithstanding any other provision of the Act, no funds appropriated in this Act shall be used to carry out a program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Publicity and Propaganda [Lobbying] – Sec. 503 (a) No part of any appropriation contained in this act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

(b) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

(c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

VII. AGENCY CONTACTS

Option 1 Project Officer:
U.S. Department of Health and Human Services
Administration for Community Living
Administration on Aging
Washington, DC 20201
Attn: Stephanie Whittier Eliason
e-mail: stephanie.whittiereliason@aoa.hhs.gov

Option 2 Project Officer:
U.S. Department of Health and Human Services
Administration for Community Living
Administration on Aging
Washington, DC 20201
Attn: Margaret Graves
e-mail: Margaret.Graves@aoa.hhs.gov

Grants Management Specialist:
U.S. Department of Health and Human Services
Administration for Community Living
Administration on Aging
Washington, DC 20201
Attn: Heather Wiley
e-mail: grants.office@aoa.hhs.gov

VIII. OTHER INFORMATION

1. Application Elements

i.   SF 424, required – Application for Federal Assistance (See Attachment A for Instructions).

ii. SF 424A, required – Budget Information. (See Attachment A for Instructions; See Attachment B for an example of a completed SF 424A).

iii. Separate Budget Narrative/Justification, required (See Attachment C for a Budget Narrative/Justification Sample Format with Examples and Attachment D for a Sample Template). NOTE: Applicants requesting funding for multi-year grant projects are

REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi-year detailed Budget Narrative/Justification.

iv. SF 424B – Assurance, required. 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).

v. Lobbying Certification, required

vi. Proof of non-profit status, if applicable
Copy of the applicant's most recent indirect cost agreement, if requesting indirect costs. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.

vii. Project Narrative with Work Plan, required (See Attachment E, for Sample Work Plan Format).

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

ix. Letters of Support and Commitment from Key Partners.

2.   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 Narrative/Justification is approved under OMB control number 0985-0018 which expires on 8/31/13. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

ATTACHMENTS

Attachment A:
Instructions for Completing Required Forms
[SF 424, Budget (SF 424A), Budget Narrative/Justification]

Attachment B:
SF 424 – Sample Format

Attachment C:
Budget Narrative/Justification – Sample Format

Attachment D:
Budget Narrative/Justification – Sample Template

Attachment E:
Project Work Plan - Sample Template

Attachment F:
Instructions for Completing the Summary/Abstract

Attachment G:
Elder Abuse, Neglect, and Exploitation Interventions, Risk Factors,
and Logic Model Example

Attachment A: Instructions for Completing Required Forms
[SF 424, Budget (SF 424A), Budget Narrative/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.

a. Standard Form 424

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

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

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

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

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

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

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

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

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

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

b. Employer/Taxpayer Number (EIN/TIN): (REQUIRED): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. In addition, we encourage the organization to include the correct suffix used to identify your organization in order to properly align access to the Payment Management System.

c. Organizational DUNS: (REQUIRED) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website (http://www.grants.gov). Your DUNS number can be verified at http://www2.zapdata.com/CompanyLookup.do.

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

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

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

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

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

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

12. **Funding Opportunity Number/Title:** (REQUIRED) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.

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

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

15. **Descriptive Title of Applicant's Project:** (REQUIRED) Enter a brief descriptive title of the project (This is not a narrative description). Applications must identify the Option for which they are applying here.

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

http://www.house.gov/Welcome.shtml

17. **Proposed Project Start and End Dates**: (REQUIRED) Enter the proposed start date and final end date of the project**. If you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.** In general, all start dates on the SF424 should be the 1st of the month and the end date of the last day of the month of the final year, for example 7/01/2012 to 6/30/2015. The Grants Officer can alter the start and end date at their discretion.

18. **Estimated Funding:** (REQUIRED) If requesting multi-year funding, enter the full amount requested from the Federal Government in line item 18.a., as a multi-year total. For example and illustrative purposes only, if year one is $100,000, year two is $100,000, and year three is $100,000, then the full amount of Federal funds requested would be reflected as $300,000. The amount of matching funds is denoted by lines b. through f. with a combined Federal and non-Federal total entered on line g. Lines b. through f. represents contributions to the project by the applicant and by your partners during the total project period, broken down by each type of contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

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

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

accountable to meet their share of project expenses even if program income is not generated during the award period.

There are two types of match: 1) non-Federal cash and 2) non-Federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered **matching funds**. Examples of **non-Federal cash match** includes budgetary funds provided from the applicant agency's budget for costs associated with the project.   Generally, most contributions from sub-contractors or sub-grantees (third parties) will be non-Federal in-kind matching funds. Volunteered time and use of third party facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations.

> NOTE: **Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements. **If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an approved cost allocation plan.**

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

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

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

b. Standard Form 424A

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

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 1:   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 in Attachment C).

Column 2:   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 (sum of Columns 1 and 2) by object class category.

Section C – Non Federal Resources

Column A: Enter the federal grant program.

Column B: Enter in any non-federal resources that the applicant will contribute to the project.

Column C: Enter in any non-federal resources that the state will contribute to the project.

Column D: Enter in any non-federal resources that other sources will contribute to the project.

Column E: Enter the total non-federal resources for each program listed in column A.

Section D –Forecasted Cash Needs

Line 13: Enter Federal forecasted cash needs broken down by quarter for the first year only.

Line 14: Enter Non-Federal forecasted cash needs broken down by quarter for the first year.

Line 15: Enter total forecasted cash needs broken down by quarter for the first year.

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial start up costs in the first quarter of your award reflect that in quarter one or you do not expect to have contracts awarded and funded until quarter three, reflect those costs in that quarter.

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project (i.e. subsequent years 2, 3, 4 or 5 as applicable).

Column A: Enter the federal grant program

Column B (first): Enter the requested year two funding.

Column C (second): Enter the requested year three funding.

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

Line 22: Enter the total Direct charges (calculation of indirect rate and direct charges).

Line 23: Enter any pertinent remarks related to the budget.

> **Separate Budget Narrative/Justification Requirement**
>
> **Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.**
>
> For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: Federal; non-Federal cash; and non-Federal in-kind. Cost breakdowns, or justifications, are required for any cost of $1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-Federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

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

Line 6b: **Fringe Benefits**: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.
In the Justification: If the total fringe benefit rate exceeds 35% of Personnel costs, provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a break down but you must show the percentage charged for each full/part time employee.

Line 6c: **Travel**: Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under Other. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.
In the Justification: Include the total number of trips, number of travelers, destinations, purpose (e.g., attend conference), length of stay, subsistence allowances (per diem), 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. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its sub-grantees.

Line 6e: **Supplies**: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.
In the Justification: . For any grant award that has supply costs in excess of 5% of total direct costs (Federal or Non-Federal), you must provide a detailed break down of the supply items (e.g., 6% of $100,000 = $6,000 – breakdown of supplies needed). If the 5% is applied against $1 million total direct costs (5% x $1,000,000 = $50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of $5,000 or less regardless of total direct costs does not require a detailed budget breakdown (e.g., 5% x $100,000 = $5,000 – no breakdown needed).

Line 6f: **Contractual**: Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.
In the Justification: Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at $100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR 74.44 for non-profits and 92.36 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

Line 6g: **Construction**: Leave blank since construction is not an allowable costs for this 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, 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 this is where it belongs.

Note: Consistent with the Grants Policy Statement:

- *Meals are generally unallowable except for the following:*
- *For subjects and patients under study(usually a research program);*
- *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);*
- *When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;*
- *As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and*
- *Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances (Note: the sole purpose of the grant award is to hold a conference).*

  In the Justification: Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the work plan or indicate where it is described 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. **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. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the Federal share of your direct costs. Any unused portion of the grantee's eligible Indirect Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

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.

c. Standard Form 424B – Assurances (required)

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

d. Certification Regarding Lobbying (required)

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

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

- A copy of a currently valid IRS tax exemption certificate.

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

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

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

Attachment B: Standard Form 424A – Sample Format

OMB Approval No. 0348-0044

BUDGET INFORMATION--Non-Construction Programs

SECTION A-BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
2.						
3.						
4.						
5. **TOTALS**						

SECTION B-BUDGET CATEGORIES

6. **Object Class Categories**	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1) Year 1	(2) Year 2	(3) Year 3	(4)	
a. **Personnel**					
b. **Fringe Benefits**					
c. **Travel**					
d. **Equipment**					
e. **Supplies**					
f. **Contractual**					
g. **Construction**					
h. **Other**					
i. **Total Direct Charges** (sum 6a-h)					
j. **Indirect Charges** @					
k. **TOTALS** (sum 6i and j)					
7. **Program Income**	None				

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         Prescribed by OMB Circular A-102

SECTION C-NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other sources	(e) TOTALS
9.				
10.				
11.				
12. **TOTALS** (sum of lines 8 and 11)				

SECTION D-FORECASTED CASH NEEDS					
13. **Federal**	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
14. **Non-Federal**					
15. **TOTAL** (sum of lines 13 and 14)					

SECTION E-BUDGET ESTIMATES OF <u>FEDERAL</u> FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d)	(e)
17.				
18.				
19.				
20. **TOTALS** (sum of lines 16-19)				

SECTION F-OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)	
21. **Direct Charges:**	22. **Indirect Charges:**
23. **Remarks**	

Attachment C: Budget Narrative/Justification – Sample Format

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH year of grant funding.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					**Federal** staff (name) = FTE @ rate/yr = $ **Non-Fed Cash** staff (name) = FTE @ rate/yr = $ Total $
Fringe Benefits					**Federal** Fringe on person X at rate% = $ (break down rate into individual categories) **Non-Fed Cash** Fringe on person Y at rate% = $ (break down rate into individual categories)
Travel					**Federal** Local travel: # trips for # of person Mileage: # RT @ .rate x miles = $ Lodging: # days @ $rate/day = $ Per Diem: # days @ $rate/day = $ Total = $ **Non-Fed Cash** Travel to (Event) in (Destination) for # people Airfare # RT x 3 staff @ $rate = $ Lodging: # days x # staff @ $rate/day = $ Per Diem: # days x # staff @ $rate/day = $ Total = $

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Equipment					*No Equipment requested OR detail specific equipment items and cost*
Supplies					**Federal** *Detail# of item, rate per item, and total cost* **Non-Fed Cash** *Detail# of item, rate per item, and total cost*
Contractual					*(Provide organization name, purpose of contract, and estimated dollar amount)* *If contract details are unknown due to contract yet to be made provide same information listed above and:* A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other					**Federal** *(Identify additional costs not captured in the other budget categories, including what the cost is for, the rate per each, and total)* **In-Kind** *(Identify additional costs not captured in the other budget categories, includ what the cost is for, the rate per each, and total)*
Indirect Charges					rate % of salaries and fringe = $ Must attach the Indirect Cost Rate agreement.
TOTAL					

Attachment D: Budget Narrative/Justification – Sample Template

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Attachment E: Project Work Plan – Sample Template

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a Project Work Plan for EACH potential year of grant funding requested.

Goal:

Measurable Outcome(s):

* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														
2.														

Attachment E: Project Work Plan, Page 2 – Sample Template

Goal:
Measurable Outcome(s):

<div align="right">* Time Frame (Start/End Dates by Month in Project Cycle)</div>

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
3.														
4.														

Goal:
Measurable Outcome(s):

* **Time Frame** (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	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, limit the length to 265 words or less, 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

Objective(s) – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning process or sequence (the "how") to attain the goal(s).

Outcomes - measurable results of a project. Positive benefits, 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 Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite services through the Delaware ADRC; 4) to increase availability of respite services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.

Attachment G: Elder Abuse, Neglect, and Exploitation Interventions, Risk Factors, and Logic Model Example

Prevention interventions are generally designed to target those at risk for being involved in elder abuse, neglect or exploitation[14]. A commonly used classification system was developed by the Institute of Medicine in 1994, and incorporates the following concepts:

a. Universal Preventive Interventions, targeted to the general public and not based on individual risk factors;
b. Selective Preventive Interventions, which are targeted to a subgroup of the population determined to be at higher risk for experiencing a phenomena; and
c. Indicated Preventive Interventions, targeted to individuals displaying detectable signs of a phenomena.[15]

Cooperative agreements under this program announcement may only fund Selective Preventive Interventions and/or Indicated Preventive Interventions.

Existing research suggests that the following prevention interventions merit testing for their effectiveness in the field of elder abuse, neglect, and exploitation. [16] The list is only a set of suggested prevention interventions, and not exhaustive of all the prevention interventions possible:

1. Screening
2. Caregiver Support Interventions
3. Education of Professionals
4. Education of Potential Victims
5. Home Visitation by Police/Social Workers
6. Social Support and Self-Help Groups
7. Safe Houses and Emergency Shelters

For more examples of promising or recommended prevention interventions from other family violence fields, see chapters 8, 11, 12, and 13 of the CDC's **Handbook of Injury and Violence Prevention** (2007, New York: Springer), among other available resources.

Potential Risk Factors for Elder Mistreatment[17, 18]

Developing effective prevention programs requires an understanding of the risk factors for being involved in elder abuse, neglect or exploitation, either as a victim or an abuser. A small number of studies have begun to reveal some patterns of potential risk. The

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[14] Doll, L.S., Saul, J. R., & Elder, R. W. (2007). Injury and Violence Prevention Interventions: An Overview. In Doll, L.; Bonzo, S.; Sleet, D.; Mercy, J.; Haas, E.N. (Eds.), *Handbook of Injury and Violence Prevention*. New York: Springer.

[15] Mrazek, P. J. & Haggerty, R.J. (Eds.). (1994). Reducing Risks for Mental Disorders: Frontiers for Preventive Intervention Research. Washington, DC: The National Academies Press.

[16]Pillemer, K.A.; Mueller-Johnson, K.U.; Mock, S.E.; Suitor, J.J.; & Lachs, M.S. (2007). Interventions to Prevent Elder Mistreatment. In Doll, L.; Bonzo, S.; Sleet, D.; Mercy, J.; Haas, E.N. (Eds.), *Handbook of Injury and Violence Prevention*. New York: Springer.

[17] *Ibid.*

[18] U.S. General Accountability Office (2011). Elder Justice: Stronger Federal Leadership Could Enhance National Response to Elder Abuse. GAO-11-208

following list summarizes what some of the research is beginning to indicate are potential risk factors for involvement.

1. Shared living arrangement
   It is believed that a shared residence increases the opportunities for contact between victims and perpetrators, and subsequently increases the risk of conflict. In addition, it is possible that a volatile situation that could be defused by one party simply leaving may escalate in a shared living situation.

2. Social isolation and inadequate social support
   Those who are socially isolated may be at greater risk of abuse because there are fewer opportunities to identify and diffuse potentially harmful situations. Also, two studies have postulated that perpetrators may also be socially isolated, possibly reflecting a difficulty maintaining healthy relationships, thus increasing the risk of perpetrating abuse.

3. Cognitive impairment and dementia
   Cognitive impairment and dementia have been linked to increased vulnerability to abuse.

4. Psychological problems and substance abuse
   Studies have shown that a history of mental illness, depression, and substance abuse, especially alcohol abuse, are risk factors for involvement in abuse. A few studies have suggested that those who experience abuse are more likely to suffer from depression at higher rates than the general population.

5. Abuser dependency on victim
   A number of studies have shown that perpetrators appear to be dependent on the victim in some way.

6. Health problems and physical impairment
   Those with health problems or physical impairment may be at greater risk for victimization, likely due to increased dependency on an individual or a decreased ability to avoid or defend oneself from abuse.

Although caregiver stress is often cited as a risk factor for elder abuse, neglect, or exploitation, there is sufficient evidence to refute this claim. .[19]

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[19] *See:* Beach, S. R., Schulz, R., Williamson, G. M., Miller, L. S., Weiner, M. F. and Lance, C. E. (2005), Risk Factors for Potentially Harmful Informal Caregiver Behavior. *Journal of the American Geriatrics Society, 53:* 255–261.

Gorbien, M.J. & Eisenstein, A.R. (2005). Elder Abuse and Neglect: An Overview. *Clinics in Geriatric Medicine, 21,* 279-292.

Brandl B, Raymond J. (1997). Unrecognized elder abuse victims. Older abused women. *Journal of Case Management, 6(2)*, 62-68.

Pillemer, K. and Finkelhor, D. (1989), Causes of Elder Abuse. *American Journal of Orthopsychiatry, 59:* 179–187

Logic Model Example

Contextual Factors and Assumptions	Inputs/Resources	Activities	Outputs	Outcomes – Short & Long Term	Impact
In the **Contextual Factors and Assumptions** section, the applicant would list relevant risk and protective factors for abuse, neglect and exploitation from intervention research as well as state or other data the applicant may be relying upon. These can be specific to the target population(s) the applicant is focusing upon.	In the **Inputs and Resources** section, the applicant would describe the Investments and resources available to the project to accomplish the set of activities, such as staff, project funding, intervention materials, expertise from community partners, resources from community partners, etc.	In the **Activities** section, the applicant would describe/summarize the events or actions the project does with the resources to address the problem. For example, provision of counseling services, provision of training, etc.	In the **Outputs** section, the applicant describes the expected direct results of the project that show evidence of the delivery of the intervention. For example, number of people served in target populations, number of hours of counseling services provided or number of trainings held.	In the **Outcomes** section, the applicant describes the specific changes that occur because of the intervention. Changes can be in participants' behavior, knowledge, and skills. Changes may be divided into Short-term and Long-term i.e. months to multiple years depending on the intervention.	In the **Impact** section, the applicant describes the fundamental change occurring in organizations, communities or systems as a result of project activities over multiple years. For example, reduce the rate of repeated abuse in the community.

CONTEXT
In the **Context** section, the conditions that exist in the community, characteristics of target population(s) and other factors that may have a positive or negative effect on the success of the intervention but are outside the project's control.