2017 Request for Grant Applications and Instructions for Older Americans Act Title III-E National Family Caregiver Support Services

Important Note:
This request is for service provision in all five northwest counties in MNRAAA's service area including: Big Stone, Chippewa, Lac qui Parle, Swift and Yellow Medicine. Only NEW Title III-E projects proposing to serve all five counties or MNRAAA's existing Title III-E projects proposing to EXPAND into all five counties should apply.

APPLICATION DEADLINE: The application, whether mailed or hand delivered, must arrive at the Minnesota River Area Agency on Aging® (MNRAAA) administrative office no later than **3:00 p.m., on Friday, August 12, 2016**. Applications must be mailed or hand delivered to **Minnesota River Area Agency on Aging®, 201 North Broad Street, Suite 102, Mankato, MN 56001.** MNRAAA does not accept a postmark date but requires receipt of the application in the MNRAAA administrative office by the application deadline.

Applications may not be transmitted using electronic media such as facsimile (FAX) or e-mail. Late responses will not be accepted and will automatically be disqualified from consideration and returned. The method of delivery shall be at the discretion of the applicant and at the applicant's sole risk.

Direct Inquiries to
Rhonda Hiller Fjeldberg, Grant and Contract Manager
Minnesota River Area Agency on Aging®
201 North Broad Street, Suite 102
Mankato, MN 56001
507.387.1256, ext. 105 / rfjeldberg@mnraaa.org

Technical Assistance is Available from MNRAAA's Program Development Staff
Contact Kelly at 507.387.1256, ext. 102 or kwolle@mnraaa.org
to be connected to the program developer serving your area.

Successful applicants must abide by state EOE policies.

Mission Statement
The Minnesota River Area Agency on Aging® is the gateway to resources for older adults, caregivers and service providers in the twenty-seven counties of southwest Minnesota.

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NOTE: All references to other documents, i.e. Older Americans Act (OAA), Office of Budget and Management (OMB) circulars, are contingent upon their compliance with the most recent amendments to the OAA of 1965 and any federal laws or circulars that supersede those referenced.

I. General Information

►This handbook should be used in conjunction with the *Title III Provider Handbook* and the *Cost-Sharing Tool Kit for Title III Service Providers* located at www.mnraaa.org. The *Title III Provider Handbook* should be reviewed in detail prior to submitting a Title III grant application. Frequent references will be made to specific topic areas included in the *Title III Provider Handbook*.◄

A. Introduction

The Minnesota River Area Agency on Aging® (MNRAAA) is a non-profit organization governed by a Board of Directors. MNRAAA has been designated by the Minnesota Board on Aging (MBA) as the Area Agency on Aging (AAA) for the Southwest Planning and Service Area in Minnesota.

As a state-designated AAA, MNRAAA administers Older Americans Act (OAA) funds and is responsible for the development of a coordinated and comprehensive system of services for older adults and their caregivers in Big Stone, Blue Earth, Brown, Chippewa, Cottonwood, Faribault, Jackson, Kandiyohi, Lac qui Parle, Le Sueur, Lincoln Lyon, Martin, McLeod, Meeker, Murray, Nicollet, Nobles, Pipestone, Redwood, Renville, Rock, Sibley, Swift, Waseca, Watonwan and Yellow Medicine Counties. To accomplish this, MNRAAA awards Title III OAA funding to agencies and organizations that provide direct services for older people (age 60+) and their caregivers.

B. Request for Grant Applications and Conditions

1. MNRAAA is seeking providers of services under Title III-E of the Older Americans Act (OAA).

   Title III-E National Family Caregiver Support Services funding is designed to build an integrated caregiver service system that: supports and empowers family and informal caregivers; provides diverse and flexible service options to address caregivers' individual needs and preferences; reduces caregiver burden; and extends the time care can be provided at home. Priority services include:
   - Counseling: Individual or Family Counseling and Coaching/Consulting
   - Counseling: Support Groups and Training & Education
   - Respite Care

   Applicants can propose to provide one, two or all three of the priority services. See Appendix A for definitions and units of service for Title III-E priority services. Successful applications for these services will be funded as grant awards.

2. The project period is January 1, 2017 – December 31, 2017. Grants are awarded for funding for one year and are subject to renewal for up to three additional years. Approval of grant renewal years is not guaranteed but will be based on a renewal application, past performance, availability of funds, emerging needs/gaps in service, federal, state and local priorities, etc.

3. All applications must propose to provide services in <u>all</u> of the following counties: Big Stone, Chippewa, Lac qui Parle, Swift and Yellow Medicine. This condition applies to all applications whether they are new Title III-E projects proposing to serve all five

counties or MNRAAA's existing Title III-E projects proposing to expand into all five counties.

4. This Request is a solicitation for applications and is not to be construed as an offer, a guarantee or promise that Title III funds for the service or goods referred to herein will be awarded by MNRAAA. MNRAAA retains full discretion to abandon the Request at any time, for any reason, without liability to the applicants for any damages including, but not limited to, application preparation costs.

5. The minimum grant request per project is $6,000.

6. Local match of either cash and/or in-kind is required based on a 75% federal (Title III-E) / 25% local (cash and/or in-kind) funding ratio.

7. Agencies, organizations, local units of government, etc. seeking funds under Title III-E must apply for those funds by using the forms, instructions and format prescribed by MNRAAA. All information requested must be supplied in the application or it may be rejected.

8. The OAA places a "maintenance of effort" requirement on Title III-E funding. Maintenance of effort means that Title III funds may NOT be used to supplant or replace other sources of funding. Any existing services funded with non-Title III funds, and their existing clients, must be maintained through sources of funding other than Title III. (Note: Maintenance of effort is not required for all Titles of the OAA.)

9. Cost sharing is required for the following Title III-E services included in this Request: Counseling: Individual or Family and Coaching/Consulting; Respite. See *Title III Provider Handbook, Section II.G.* and the *Cost Sharing Tool Kit for Title III Service Providers* for detailed information on cost sharing requirements.

   All primary payers, including third-party payers, Medicare, Medical Assistance, Home and Community-Based Medicaid Waivers, health plans, et.al. should be maximized whenever possible for qualifying participants. Services funded under any of these payer sources are not eligible for payment with Title III funds. Funded providers should be knowledgeable about primary payment options.

10. MNRAAA reserves the right to make a determination of capacity without further discussion with the submitting applicant. Therefore, the application should reflect what the applicant is capable of providing. Modification of the application will be accepted only if requested by MNRAAA.

11. Provisions from this Request will be incorporated into the grant agreements that result from this competitive process. Each approved application becomes a binding part of the grant agreement and the grantee will be monitored to ensure compliance with the application and the agreement.

12. Grant awards will be made for applications that are the most advantageous to MNRAAA, the twenty-seven county service area and the persons proposed to be served.

13. MNRAAA reserves the right, at any time and at its sole discretion and without penalty, to reject any and all applications and to issue no grant(s) as a result of this Request.

14. The application shall indicate any limitation to the applicant's ability to provide services as specified in this Request. Any misrepresentation within an application is grounds for disqualification of the entire application and/or termination of any agreement resulting from an application containing misrepresentation. Misrepresentation includes failure to differentiate between current capacity and capacity to be developed.

15. In specific situations and conditions, any of the policies, requirements, criteria, etc. outlined in this section can be waived by the MNRAAA Board of Directors.

C. Eligible Persons

In general, an eligible caregiver is an adult family member or another individual, i.e. friend or neighbor, who is an informal provider of in-home and community care to an older individual age 60 and older or to an individual, regardless of age, with Alzheimer's disease or a related disorder with neurological and organic brain dysfunction. The caregiver does not need to live with the care recipient to be eligible for Title III-E services. However, special emphasis must be placed on specific target populations as defined in C. below.

D. Target Populations

The Title III-E funding program is designed to meet the needs of all eligible caregivers; however, the OAA requires that special emphasis must be placed on specific target populations. See *Title III Provider Handbook, Section I.B.* for detailed information on target populations as defined by the OAA.

II. Instructions for Completing Title III-E Grant Application

Each section of the application must be completed in accordance with the instructions contained herein. Applications that are handwritten, e-mailed or faxed will not be accepted.

Applications that are incomplete or fail to meet the application deadline will not be reviewed and will receive no further considerations. Late applications will be returned to the applicant. MNRAAA reserves the right to waive minor or immaterial irregularities.

The application plus one copy must be received at the MNRAAA office by the date and time indicated.

A. Budget

The application budget and instructions are included in Attachment A, **Title III-E Grant Application Budget Instructions and Forms**. Budget forms are provided in Excel spreadsheet format complete with formulas. Follow the instructions included in Attachment A carefully to maintain the integrity of the spreadsheets. Complete the budget and *include it as the first section of the application*.

B. Program Plan (Narrative)

This section of the application requires responses that describe the program plan activities to be undertaken by the project. The applicant must provide clear and concise responses to each item and follow the outline format to allow for ease of review and determination of compliance with applicable regulations, policies, and procedures. Failure to provide all or

part of the information requested may be grounds for disqualifying an application. Complete the Program Plan (Narrative) and *include it as the second section of the application.*

∗ *Program Plan (Narrative) information requested on care receivers is only required in applications requesting funding for Respite services.*

1. Agency Capacity
   Only new applicants are required to complete this section (1. Agency Capacity, a. – c.). MNRAAA's existing Title III-E providers do not complete this section.

   a. History of Organization
      State briefly the history of the applicant agency, including date of incorporation, legal status, mission statement, sources of financial support, and experience in providing services to caregivers.

   b. Structure of Organization
      Describe the relationship between the applicant agency and the proposed project. Include an organizational chart as Attachment B.

   c. Resources
      Describe pertinent resources (such as facilities, equipment, staff, etc.) which will be available to the project. If facilities and/or equipment are included, provide assurance that they meet state and local health, fire safety and sanitation codes.

2. Service Delivery
   a. Needs Assessment
      State the need for the proposed service(s). Describe how the need was identified or continues to be relevant; include the process used (surveys, open meetings, contacts with other agencies, etc.) and the results. If applicable, include needs assessment and/or survey forms used as Attachment C. In addition, indicate how caregivers were involved in needs' determination. Note: Response must be based on the most recent data and information available. Applicants should indicate the year data and other information were generated.

   b. Service Delivery Plan
      i. Explain marketing and outreach efforts that will be conducted to inform the public of the service(s) being provided. Describe specific marketing and outreach efforts that will be made to inform target populations.

      ii. Describe in detail how the service(s) will be provided to caregivers and care receivers∗. Include details on intake/assessment procedures which will be used to determine eligibility for the proposed service.

      iii. Specify in detail how the service will be provided to caregivers and care receivers∗ of minority status in at least the same proportion as they are represented in the adult population within the service area. Include the means of communication to be utilized with individuals who have limited or no English proficiency.

iv. Describe how the project will coordinate its activities with Title III projects and other service providers in the area. Also, describe how the project will coordinate its efforts with the MinnesotaHelp Network™, i.e., Senior LinkAge Line®, www.MinnesotaHelp.info®.

v. Complete Attachment D, **Persons to be Served Form**, and attach it to the application.

The following definitions and instructions should be used when completing the **Persons to be Served Form**:

Rural - for this purpose, rural means any area that is not defined as urban. Urban is defined as an area with a population of 50,000 or more.

Race/Ethnicity - for this purpose, *White Non-Hispanic* is any person who is not considered a minority. Minority status is confined to the following designations: *White Hispanic; American Indian/Alaskan Native; Asian; Black/African American; Native Hawaiian or Other Pacific Islander; Other Race; and 2 or More Races.*

Below Poverty - for this purpose, below poverty is defined as persons whose income is at or below the official DHHS poverty threshold. (This level changes on an annual basis; see Appendix B for current Poverty Guidelines.)

Unduplicated Count
This section is designed to project an unduplicated count of all eligible persons to be served during the project year and their characteristics. Only supply information in the columns of the Primary Services you propose to provide for caregivers and care receivers*.

The applicant must estimate the number of unduplicated caregivers and care receivers* projected to be served during the project year for each service. In addition, the following characteristics must be projected: race/ethnicity, rural residents, county of residence and low income status. See definitions above.

List each county in which the project will operate. Project the number of caregivers to be served by county of residence.

All spaces must be filled. If it is estimated that no persons within a certain category will be served, then place a "0" in that space.

If more than nine counties are proposed to be served, attach an additional sheet.

Volunteers
Estimate the total number of volunteers to be used in each Primary Service, the number who will be 60 years of age and older, and the number of volunteer hours to be provided.

C. Outcomes

Definition: Outcomes are desired benefits or changes for individuals or populations during or after participating in the project activities/services. Outcomes may relate to behavior, skills, knowledge, attitudes, values, condition, or other attributes. They are what participants know, think, or can do; or how they behave; or what their condition is, that is different following participation in the project. When developing a new caregiver project, it is allowable for applicants to devote one or more Outcomes to development and implementation.

Complete Attachment E, **Outcome Form**, for each outcome the project intends to achieve and attach them to the application. Projects are required to have a minimum of 3 outcomes which must include one outcome on targeting and service to caregivers of minority status.

Applicants should address the following results through their outcomes as applicable and appropriate to the proposed project:

- Reduced caregiver burden;
- Increased caregiver skill competency and confidence;
- Extended time care can be provided at home;
- Increased caregiver access to support services.

Each outcome must be (1) clearly measurable and related to a specific need; (2) achievable by the service(s) the project provides; and (3) stated in such a way that reflects the benefits to be obtained by caregivers through the provision of the project's units of service. There must be a logical relationship between the description of outcomes and the services to be provided and between the outcomes and the budget.

Each outcome must have at least one measure that can be used to determine if project participants are experiencing the intended benefit(s) of the project activities.

Each outcome must define the need it will address, the action steps necessary to achieve the intended results, and the expected completion date for each action step (see Appendix C for example).

D. Project Management (Narrative)

This section of the application requires responses that describe the project management activities to be undertaken by the project. The applicant must provide clear and concise responses to each item and follow the outline format to allow for ease of review and determination of compliance with applicable regulations, policies, and procedures. Failure to provide all or part of the information requested may be grounds for disqualifying an application. Complete the Project Management (Narrative) and *include it as the third section of the application.*

1. Advisory Council
   Indicate whether or not the applicant will establish or maintain an Advisory Council or similar advisory body. Describe the group's make-up (including number of members who are older adults and/or caregivers) and its organization. Also, describe how the group will facilitate completion of the project outcomes and other activities. Note: The value of time provided by Advisory Council members can be included in the budget as in-kind match. Payments of per diems, stipends, etc. to Advisory Council members are not allowable costs in the budget.

2. Contribution Procedures
   a. Applicants for services required to participate in Cost Sharing should describe in detail their cost sharing plan. See *Title III Provider Handbook, Section II.G.* and the *Cost-Sharing Tool Kit for Title III Service Providers* for detailed information on cost sharing requirements and sample materials.

      New applicants should address specific content being considered for the documents listed in i.-iii. below. If drafts of the documents are available include them as Attachment F.

      Existing Title III-E providers should include the documents listed in i.-iii. below as Attachment F.

      i. Agency Cost Sharing Policies (policies must include basis for cost sharing fee, method for informing participants, allowance for exemptions based on hardship, assurance for no denial of service, cost sharing collection and accounting methods, etc.);
      ii. 2017 Sliding Fee Scale (see Appendix D for sample);
      iii. Other documents, i.e. Consumer Information Sheet, Consumer Agreement, Payment Reminder.

      New applicants awarded funding must submit the documents listed as i.-iii. to MNRAAA's grant and contract manager within the first quarter of the project period, or prior to service beginning, whichever occurs first, for review, comment and approval.

   b. Outline a plan for soliciting voluntary contributions and establishing and implementing a voluntary contribution scale (see Appendix E for sample) for persons who are exempt from cost sharing or unwilling to participate in cost sharing. The plan must include a suggested contribution, how the suggested contribution was/will be determined, and how it will be used with participants. It must also outline how participants in the project will be provided with the opportunity to make their contributions in a confidential manner.

      The OAA and MBA guidance requires that providers of Title III services will:
      i. Provide individuals with an opportunity to voluntarily contribute to the cost of a service;
      ii. Clearly inform each individual that service will not be denied due to inability or unwillingness to pay;
      iii. Protect the privacy and confidentiality of each individual with respect to their contribution or lack of contribution;
      iv. Establish appropriate procedures to safeguard and account for all contributions;
      v. Have in place a schedule of suggested contributions; and
      vi. Use all collected contributions to expand the service for which the contributions were given.

      Providers who utilize voluntary contribution policies cannot:
      - Mandate a fee or rate; or
      - Means test for any service.

3. Public Information
   Describe the public information activities to be carried out by the project through means such as radio, television, newspapers, internet, social media, etc.

4. Fiscal Management
   Describe how Title III funds will be accounted for and integrated into the existing financial accounting system.

   Describe strategies for cost-effective service delivery. Include how the strategies will be implemented to ensure that the cost for the service proposed is reasonable and, at a minimum, not more than market rate for the same or similar activities in the service area.

   In addition, describe how client service levels, expenditures and income will be monitored and managed to ensure funds will be fully utilized and there will be a continuity of service for the entire grant period.

   In order to demonstrate fiscal capacity, complete Attachment G, **Agency Information and Fiscal Capacity**, and attach it to the application.

5. Staffing
   List and describe each staff position included in the project. (Applicants proposing to provide Coaching/Consulting services should reference Appendix F.) Indicate whether positions are new or existing. Include a timetable for hiring, if applicable. Include job description(s) for all positions included in the budget as Attachment H.

6. Quality Assurance and Evaluation
   Describe the ongoing plan for monitoring, evaluating and improving the quality of service(s) provided by the project. At a minimum, this should include (1) staff, and if applicable, volunteer performance appraisal protocols; (2) client satisfaction protocols; and (3) advisory council review. It should also include how the perspectives of caregivers and care receivers* will be gathered and utilized in monitoring, evaluating and improving service quality.

   In addition, address how the project will determine (measure) whether there has been improvement in the quality of service as a result of the project's quality assurance and evaluation protocols.

7. Accessibility for Persons Who are Handicapped
   Explain the methods which will be used to make the project accessible to persons who are handicapped. If project sites are not totally barrier free, describe the plan to achieve program accessibility by use of other methods.

   In addition, describe the methods which will be used to communicate with persons who are visually impaired and persons who are hearing impaired.

   Note: When there is more than one option for implementation, the option selected should be the one that will result in the "most integrated setting appropriate" for persons who are handicapped. If possible, persons who are handicapped or their representatives should be consulted in making these decisions.

8. Volunteer Involvement
   Describe how the project plans to use volunteers in the project to the fullest extent possible, how they will be recruited, selected, maintained and evaluated.

9. Future Funding/Project Sustainability
   Outline specific efforts that will be made to generate financial support of the project, from sources other than Title III, and move toward project sustainability. Include a plan, goals and time line for generating support.

   Note: Title III funds, or other funds generated through a Title III project, cannot be used for fundraising activities. This includes staff time, printing, copying, et al.

E. Report of Past Performance

Only applicants who are MNRAAA's current Title III-E grantees must complete Attachment I, **Report of Past Performance** and attach it to the application. The Report of Past Performance outlines the extent to which the current year's outcomes and projected numbers of persons served, units of service, cost per unit, etc. are being achieved.

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1. Fill in project title and grantee agency.

2. List current outcomes and measures. List results accomplished for each outcome, to date, including results of measures, etc. Attach an additional sheet if needed.

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3. Insert primary service(s).

3.A. List projected and actual number of unduplicated persons served by county for each primary service (see most recent quarterly report for total number of unduplicated persons served this year by county).

4. List projected and actual number of low income persons served for each primary service.

5. List unit measure for each primary service, i.e., 1 hour, 1 session, 1 contact, etc. Include projected and actual number of units by quarter for each primary service.

6. Fill in projected and actual total unit cost information for each primary service (see Program Budget Summary in current grant for projected unit cost information and most recent quarterly report for actual unit cost information).

F. Assurances

All projects funded under Title III of the OAA must be administered in compliance with Attachment J, **Assurances of Compliance and Certifications Required by Federal Law**. See *Title III Provider Handbook, Section II.A.* for a detailed description of the Assurances and Certifications.

Review Attachment J, complete the first page and attach the entire document to the application.

G. Application Check List

Complete Attachment K, **Application Check List**, and attach it to the application.

III. Review and Selection Process

A. Planning Committee

A Planning Committee, appointed by the MNRAAA board chair and approved by the board, will make recommendations for Title III funding awards. The committee has the authority and autonomy to recommend awards based on a variety of factors, i.e., funds available, current funding priorities, funding criteria, application/proposal content, applicant/proposer interview (if required), past performance (if applicable).

B. Submission and Review

All applicants are required to submit an application, plus one copy, in the format and by the deadline specified by MNRAAA. MNRAAA's grant and contract manager will undertake a systematic review of the form and content of the application. The application will be reviewed for mathematical accuracy, programmatic content, and conformity to funding criteria and the Request for Applications.

After such review, the grant and contract manager will make comments to the applicant. Revisions and/or responses to comments will be required to be submitted to MNRAAA by a specified date.

MNRAAA's grant and contract manager and/or program development staff are available to provide technical assistance in developing applications; however, all responsibility for the development and submission of the application rests with the applicant.

All applications will be reviewed by the Planning Committee.

Applicants may be required to attend one Planning Committee meeting, present their proposed project and respond to questions. Based on the application review and the applicant presentation, the Planning Committee will evaluate the applications, develop funding recommendations for each application and submit the recommendations to the MNRAAA board.

The MNRAAA board will review the Committee recommendations at a regularly scheduled or special meeting. The board will make funding awards based on review of the Committee recommendations and consideration of applications that are in the overall best interest of MNRAAA, the twenty-seven county service area and the persons proposed to be served. MNRAAA's grant and contract manager will notify applicants in writing of the action taken by the MNRAAA board and of their right to appeal. MNRAAA reserves the right to reject any or all applications.

IV. Appeal Procedure

Unsuccessful applicants have the right to appeal a decision made by MNRAAA. An applicant must provide written notice of its intent to appeal to MNRAAA. The Notice of Appeal must be directed to the executive director of MNRAAA within 10 working days of written notification of MNRAAA's decision. The Notice of Appeal must describe the adverse action taken, who took the action, and the reason for believing the action to be in error. No additional information should be included. Notice by electronic media such as facsimile (FAX) transmittal or email will not be accepted. **MNRAAA shall consider an appeal on procedural grounds only and shall not consider issues of merit.**

MBA Title III-E Service Definitions
Effective 01.01.2014

Minnesota River Area Agency on Aging®
2017 Title III-E Priority Services

Service	Unit	Service Definition
Caregiver Counseling	1 session per participant	Services under this category assist family caregivers in making decisions and solving problems related to their caregiver roles. This includes: individual or family counseling, coaching, support groups, training and education, and self-directed support services. These services may be provided in person, by telephone or via the internet depending on the needs of the caregiver/s.
		Individual or Family Counseling: Assistance provided to caregivers in making decisions and solving problems related to their caregiver roles. Counseling may include: identification of needs and preferences, development of individualized approaches and plans, problem solving, decision support, service planning and coordination, access assistance and referrals; exploring personal lifestyle and the impact of caregiving on health status, relationships and finances. Developing an informal support network.
		Coaching/Consulting: An individualized support service that equips caregivers with the knowledge, skills and tools to perform their caregiving role while achieving a balanced lifestyle. At minimum, the caregiver coach/consultant service includes a comprehensive caregiver assessment to identify the caregiver's needs, and values, and strengths related to their caregiving role, and development of a customized plan that includes goal setting, and problem solving, coaching, and ongoing support to reach established goals. Support may be provided as education, skills development including self-advocacy, coping and disease management; self-care skills, managing difficult behaviors, and creating an informal support network; coaching skills such as cognitive reframing, crisis management, problem solving, family meetings and resource information. Title III-E funded CCs will conduct a caregiver assessment on those caregivers receiving ongoing support. This assessment will address the caregiver's needs, risk factors, strengths and abilities, and informal support network, as well as, key domains and constructs outlined in *Caregiver Assessment: Principles, Guidelines and Strategies* found at: https://caregiver.org/sites/caregiver.org/files/pdfs/v1_consensus.pdf. The assessment tool will include a validated stress/burden and depression measure with follow up strategies and support to improve individual outcomes. Caregiver coaches/consultants meet state Title III-E Caregiver Consultant Standards for Professional Practice [Revised 01.27.16], complete the Caregiver Coaching/Consulting basic training using state owned curriculum, and participate in state or locally sponsored coach training.
		Support Groups: Group sessions that offer caregiver education, information about community resources, or emotional support and networking with other caregivers. Title III-E funded support groups must include an educational component as a part of sessions.

		Caregiver Training and Education: Individual or group sessions (Registered service) that build caregiver capacity to provide, manage, and cope with caring for an older adult or other eligible person, and promote or preserve their own health and well-being. These services may include training or education on managing risk factors (e.g., caregiver stress and depression), caregiver role development and identity change, family dynamics, direct care skills, disease management, managing difficult behaviors, communicating with health care providers, navigating health and long-term care systems, building a support network, and financial and legal issues.
Respite	1 hour	Services that offer temporary, substitute care, supervision, support, or living arrangements to older persons in order to provide a brief period of relief or rest for informal caregivers. Respite Care includes: (1) in-home respite; (2) out-of-home respite; and (3) facility-based respite.
		In-home Respite: This includes personal care, homemaker, chore, companion, supervision, or nursing care provided by an organization or agency. Trained volunteers may be utilized to provide companionship respite (e.g., assistance with meals, medications reminders and general supervision). Respite volunteers are screened, trained and matched with older adults and supervised by provider.
		Out-of-Home Non-Facility Respite: This option may be provided on a group or individual basis and include licensed Adult Day Services, licensed adult foster care, services by a family, friend, neighbor, or volunteer in a non-licensed private residence, or escorted transportation to medical appointments or community activities.

APPENDIX B

2016 HHS Poverty Guidelines for the 48 Contiguous States and the District of Columbia

Size of Family Unit	Poverty Guidelines
1	$11,880
2	16,020
3	20,160
4	24,300
5	28,440
6	32,580
7	36,730
8	40,890

•The information in this table was originally published in the *Federal Register* on January 25, 2016.

EXAMPLE OUTCOME

NEED:
Many caregivers lack adequate support, information and skills necessary to provide care for their loved ones. The lack of adequate support, information and skills often results in caregiver burnout and shortens the time care can be provided at home.

OUTCOME: # 1
Support caregivers and extend time care can be provided at home by: increasing skills and competency; increasing awareness and access to support services; and reducing caregiver stress.

OUTCOME MEASURE: # 1.1
Document that 75% of caregivers who respond to a survey tool indicate they perceive an increase in their skill and competency after participating in program activities.

OUTCOME MEASURE: # 1.2
Document that 75% of caregivers who respond to a survey tool indicate they perceive an increase in their awareness and access to support services after participating in program activities.

OUTCOME MEASURE: # 1.3
Document that 75% of caregivers who respond to a survey tool indicate they perceive a reduction in stress after participating in program activities.

ACTION STEPS	COMPLETION DATE
1. Research and develop educational topics.	1. 3/31/17 & Ongoing
2. Schedule educational events/secure locations.	2. Ongoing
3. Develop and implement outreach and marketing activities.	3. Quarterly & Ongoing
4. Research and develop educational materials.	4. Ongoing
5. Conduct ## educational events.	5. 12/31/17
6. Administer survey tool, document and evaluate results; implement changes if necessary.	6. Quarterly & 12/31/17

TITLE III COST SHARE SLIDING SCALE EXAMPLE

% of 2016 Federal Poverty Guidelines (FPG)	1 person 60 years + In a single or multiple person, *non-spousal* household		2 person ***spousal*** household (at least 1 person is 60 years +)		Cost Share as Percentage of Service Unit Price or Budget Amount	*Sample: Cost Share for a $20 Service Unit Price or Budget Amount
	ANNUAL INCOME	MONTHLY INCOME	ANNUAL INCOME	MONTHLY INCOME		COST SHARE AMOUNT
Up to 100%	$11,880 & Below	$990 & Below	$16,020 & Below	$1,335 & Below	**Voluntary Contribution**	Voluntary Contribution
>100% to 150%	$11,881 - $17,820	$991 - $1,485	$16,021 - $24,030	$1,336 - $2,002	**10%**	$ 2.00
>150% to 200%	$17,821 - $23,760	$1,486 - $1,980	$24,031 - $32,040	$2,003 - $2,670	**25%**	$ 5.00
>200% and ≤250%	$23,761 - $29,700	$1,981 - $2,475	$32,041 - $40,050	$2,671 - $3,337	**50%**	$10.00
>250%	$29,701 & Above	$2,476 & Above	$40,051 & Above	$3,338 & Above	**100%**	$ 20.00

*For Title III-B & III-E, the Cost Share percentage is based on the gross annual/monthly income of the qualifying older person(s) and is translated into a percentage of FPG and the cost of the service unit and/or amount of a self-directed services budget. It does not consider any assets, savings or other property owned by the older person(s). A sample service price of $20 is used as an example. Title III funded projects will customize this Cost Share sliding scale and reflect actual service unit price. NOTE: For Title III-E, use the care receiver's household income, not the caregiver's.

The monthly income amounts are based on the 2016 Federal Poverty Guidelines published in the *Federal Register* on January 25, 2016.

SAMPLE*

TITLE III SUGGESTED CONTRIBUTION SLIDING SCALE

% of 2016 Federal Poverty Guidelines (FPG)	1 person 60 years + In a single or multiple person, *non-spousal* household		2 person *spousal* household (at least 1 person is 60 years +)		Suggested Contribution as % of Service Unit Price	*Sample: Suggested Contribution for a $20 Service Unit Price
	ANNUAL INCOME	MONTHLY INCOME	ANNUAL INCOME	MONTHLY INCOME		SUGGESTED CONTRIBUTION AMOUNT
Up to 100%	$11,880 & Below	$990 & Below	$16,020 & Below	$1,335 & Below	**Voluntary Contribution**	Voluntary Contribution
>100% to 150%	$11,881 - $17,820	$991 - $1,485	$16,021 - $24,030	$1,336 - $2,002	**10%**	$ 2.00
>150% to 200%	$17,821 - $23,760	$1,486 - $1,980	$24,031 - $32,040	$2,003 - $2,670	**25%**	$ 5.00
>200% and ≤250%	$23,761 - $29,700	$1,981 - $2,475	$32,041 - $40,050	$2,671 - $3,337	**50%**	$10.00
>250%	$29,701 & Above	$2,476 & Above	$40,051 & Above	$3,338 & Above	**100%**	$ 20.00

*The Suggested Contribution percentage is based on the gross annual/monthly income of the qualifying older person(s) and is translated into a percentage of FPG and the cost of the service unit. It does not consider any assets, savings or other property owned by the older person(s). A sample service price of $20 is used as an example. Title III funded projects will customize this suggested contribution sliding scale and reflect actual service unit price.

The monthly income amounts are based on the 2016 Federal Poverty Guidelines published in the *Federal Register* on January 25, 2016.

Title III-E Caregiver Consultant Standards for Professional Practice
Minnesota Board on Aging

Standard 1: Professional Qualifications
Caregiver Consultant shall possess the knowledge, skills, and experience necessary to competently perform caregiver coaching/consulting service activities.

Minimum requirements:

- Bachelor's degree from an accredited program in social work, nursing, counseling, gerontology, health education, rehabilitation therapy, health and human services, or a related degree. An alternative to a Bachelor's degree is 4 years of experience supporting older adults/families in social services, health care or other relevant settings, or a combination of work and college credits approved by the Area Agency on Aging.
- Two years experience working with family caregivers and older adults in one-to-one consultation in interviewing, screening/assessment, identifying needs/values, goal setting, planning and evaluation of results.
- Strong interpersonal skills with older persons and professionals required.
- Knowledge of basic medical conditions/diseases common among older adults, family caregiving theories, principles of adult education, and some knowledge of family systems. Care of aging persons, home and community-based services, publicly funded programs, and person-centered planning philosophy and processes.
- Access to regular supervision or consultation from a trained professional with comparable training or experience.

Standard 2: Ethics and Professional Values
Caregiver Consultant shall have knowledge of and practice according to the ethical guidelines, principles and standards of their discipline and setting (i.e. NASW Code of Ethics).

- Primacy of client needs and self determination.
- Clearly communicates the distinctions between coaching, consulting, psychotherapy and other support professions.
- Refers client to another support professional as needed, knowing when this is needed and the available resources.
- Privacy and Confidentiality Standards – must comply with local, state and federal mandates related to confidentiality and privacy of client information. Professional judgement in the use of confidential information shall be based on best practice, ethical and legal considerations (including HIPAA).
- Is trained on the requirements of a mandated reporter per the Vulnerable Adults Act.

Standard 3: Cultural Awareness/Responsiveness
The Caregiver Consultant (CC) shall have knowledge and respect for the history, traditions, values, and family systems of client groups, as they relate to community-based services, health care services and decision making. The CC adapts standards of practice to meet cultural norms.

- CC has the knowledge, competence and skills to work with individuals and families from a variety of ethnic, cultural and racial groups.
- CC has the skills to meet the needs of individuals and families with disabilities, and lesbian, gay, bisexual and transgender caregivers.
- CC is knowledgeable of disparities across cultures and economic groups in gaining access to and funding for community-based and health care services.

- CCs are responsible for self-reflection regarding the impact of their own cultural beliefs on their professional and personal life.
- Knowledge of community system, knowledge of specific cultural resources available.
- CC commits to ongoing education and knowledge of the resources for new subsets of populations.

Standard 4: Knowledge Base

- Caregiver Consultant shall demonstrate a working knowledge of current theory and practice and integrate such information into practice. This includes coaching philosophy, strategy and techniques; family systems/family dynamics; specialized knowledge of chronic illnesses and/or conditions; Alzheimer's disease and related dementia, management of behaviors and communication, community resources/referrals; communications; advocacy development; navigation between home and community-based, health and long-term care systems (See CC Competencies - Part A).
- CC will strive to become and remain proficient in coaching functions by critically examining and keeping current with emerging related knowledge and evidence-based research.
- Assume personal responsibility for continuing professional education according to standards of their discipline and setting (e.g. geriatric nurse practitioner).
- CC will complete professional development training by the Minnesota Board on Aging, the Area Agency on Aging or a designated contractor (annually or as offered).

Standard 5: Coaching Philosophy, Techniques and Strategies
Based on International Coach Federation 11 Core Competencies

- Meeting ethical guidelines and professional standards
- Establishing the coaching agreement
- Establishing trust and intimacy with the client
- Coaching Presence (i.e., creating a coach presence and setting rapport)
- Active Listening
- Powerful questioning (i.e., strength-based questions/inquiry)
- Direct Communication
- Creating Awareness
- Designing Actions
- Person-Centered Planning and Goal Setting
- Follow-up on progress (i.e., continuing action plans) and client accountability
- Referrals – knowing when and where to refer for further assistance

Standard 6: Assessment
Gather information regarding client's situation to ascertain individual and family capacity, coping strategies, risk factors and preferences of client.

- Ability to establish and maintain empathic relationships; sets a tone of alliance.
- Has comfort and experience in gathering and assessing social and health histories.
- Knows how to ask questions and probe for clarification.
- Use strength-based person-centered approach.
- Address principles and domains for caregiver assessment developed by the Family Caregiver Alliance (Issued May 2006).
- Follows the Title IIIE Service Definitions for caregiver assessment

Standard 7: Goal setting, intervention, planning and follow-up
Facilitate the development and implementation of a self-directed action plan with client.

- Ability to develop and maintain an effective plan with the caregiver.
- Use problem-solving techniques and coaching tools and strategies.
- Provide ongoing education, build self-advocacy skills and provide support.
- Assist caregiver in evaluating outcomes and modifying own plan.
- Obtain ongoing feedback from caregiver on process and plan.

Standard 8: Supporting Self-Advocacy
Teach the client systems navigation and self-advocacy skills needed to fulfill the plan.

- Caregiver consultant will have the ability to teach caregiver how to navigate between home and community-based, health care and long-term service and supports systems.
- CC will have the ability to teach self-advocacy skills, such as communicating needs, identifying and resolving problems and making decisions related to the care, provider services and benefits, as caregiver is able and willing.
- CC shall have the skills to develop collaborative relationships with other health, mental health and allied health professionals, and transfer these relationships to caregiver as able and willing.
- CC will strive to enhance interprofessional, intraprofessional, and interagency cooperation on behalf of the client and family.

Standard 9: Documentation/Information Movement
Maintains records and provides information updates to persons who need to know.

- Caregiver consultant instructs caregiver how to organize and manage essential information (e.g., records, prescriptions, treatments, benefits, financial information, and advanced directives).
- CC facilitates the flow of information between all “care team” members.
- CC communicates with caregiver’s physician to ensure that there is a caregiver designation in the caregiver’s medical record and provides updates to the medical care team as to the health and mental health status of the caregiver as agreed upon (with permission).
- CC shall maintain records or documentation of caregiver services reflecting pertinent client information for assessment, interventions and outcomes in accordance with administrative policies within their organization.
- CC will comply with privacy and confidentiality standards (Outlined in Standard 2 Ethics and Professional Values – Bullet 4) including obtaining release of information forms.

Standard 10: Performance Improvement
Caregiver Consultant shall be part of an ongoing, formal evaluation of their practice to assess quality and appropriateness of services, to improve practice and to ensure competence.

- Client satisfaction surveys
- Individual feedback on process and plan on an ongoing basis

Part A

Caregiver Consultant Competencies

I. Coaching Philosophy, Techniques and Strategies
- Coaching history, philosophy, assumptions
- Roles, features, integration of two disciplines
- Theories including person-in-environment, ecological, person centered planning, solution focused, family therapy, crisis management, evidence based practices and research and mediation/conflict resolution
- Strategies, interventions
- Self-evaluation

II. Family Systems/Influence of aging and caregiving on family dynamics
- Stages of caregiving
- Family dynamics
- Types of caregivers (i.e., spousal, working, long distance, minority and young children); competencies and risks
- How to facilitate a family meeting
- Intergenerational approaches
- Knowledge and empathy about acceptance of dependency

III. Community Resources to assist caregivers and their families
- Public programs
- Linking skills/collaboration activities
- Basic understanding of legal and financial planning tools and when to refer
- Knowledge of laws, regulations and their impact on programs and service delivery
- Understanding of elder abuse and neglect
- Identify gaps in services and develop supplementary services

IV. Normal physical, psychological and social changes in later life and impact on health care
- Normal health, aging and chronic diseases
- Common physical and mental health diagnoses associated with aging
- Chronic diseases, disabilities, sensory losses
- Basic pharmacology and the interactions of medications affecting the elderly
- Dementia and related strategies, resources and interventions
- Grief and loss counseling skills
- End of life Issues
- Disparities across cultures and economic groups in gaining access to and funding for health care
- Caregiver health issues - stress, physical ailments, depression, alcohol or substance abuse
- Self-care strategies for caregivers

V. Communication skills
- Principles of adult learning
- Active listening
- Advocacy on behalf of caregivers
- Promotion of client self-expression
- Ability to work with a wide range of ethnic background
- Demonstrates ability to work with strong emotions
- Ability to give clear and direct feedback

VI. Cultural Competency/Responsiveness

- (Refer to Standard III. above)

VII. Ethics

- Accept and respect the right and need of older adults to make their own choices within the context of the law and safety concerns
- Understand the need to balance risk and safety
- Identify professional boundary issues
- Decision tree for professionals on ethics and decisions (optional)
-

VIII. Dementia Capability

- Mild Cognitive Impairment, Alzheimer's disease and other dementias
- Causes of Alzheimer's disease and other dementias
- Anatomical and pathological changes in Alzheimer's disease and other dementias
- The dementia work up
- Cognitive screening
- Health equity in cognitive screening
- New research and clinical diagnostic categories
- Medication treatment for memory loss
- Communication and challenging behaviors
- Care partner emotional wellness
- Living alone with dementia

INSTRUCTIONS FOR COMPLETING GRANT APPLICATION BUDGET

Do NOT enter data into cells with formulas.
Contact MNRAAA's Grant and Contract Manager if you have questions.

Cover Page

1. Do not enter a Project Number in the top right box. This number will be assigned by MNRAAA upon approval of the grant application.
2. Complete Section A. General Information.
3. Do not enter any amounts into Section B. Computation of Funds Requested. This section will self-fill by formula when budget pages 1-3 are completed.
4. Complete Section C. Terms and Conditions. Include name and title of person authorized to sign documents.

Program Budget Summary Page 1 of 3

→ Do not enter any data into this form other than what is indicated below. The majority of this form will self-fill by formula upon completion of pages 2 & 3.

1. Cells with yellow fill should be completed after pages 2 & 3 are completed.

→ Round all amounts to the nearest whole dollar.

1.a. Amounts in lines 11a-11d of the Total column should be divided and entered into the appropriate service columns.

1.b. Projected Units of Service should be entered for each service.

2. The % of federal funds and match must be 75%/25% for Title III-E projects.

Supporting Budget Schedule Page 2 of 3

→ Costs for the project are divided by the service(s) to be provided. For each service proposed type the name of the service in the Service cells highlighted in pink. Allowable services are outlined in the Request for Applications documents.

→ Cost Categories are described/defined in the Cost and Other Definitions tab.

→ Lines under each Cost Category can be inserted or deleted as needed. Call if you need assistance.

→ Round all figures to the nearest whole dollar.

1. For each Cost Category, include itemized costs including how the amount was determined, i.e., Coordinator @ 30 hrs./week x $16.00/hr.; Staff Mileage @ 500 mi. x .575/mi.; Building Space @ $50/mo.
2. Costs for each line item should be divided and entered into the appropriate Service columns.
3. The Subtotal lines, Grant Total line and Total column will self-fill by formula.
4. The Total column for each cost should be divided into the appropriate Revenue Sources: Title III Federal Cash; Non-Federal Cash; Third Party Inkind. Note: Complete page 3 of 3, Budget Explanation of Non-Federal Revenue prior to completing this step.

Budget Explanation of Non-Federal Revenue Page 3 of 3

→ Note Section A. is Non-Federal Cash Resources and Section B. is Matching Contribution.

→ Include all information requested in each section, i.e., source, amount, results, valuation.

COST DEFINITIONS

Personnel Compensation of salaries and wages of applicant employees for time devoted and identified specificially to the performance of the project. Also include the value of volunteer time. Volunteer time should be valued at a rate that is commensurate with the wages of persons employed in the same or similar functions. Do not include the costs of consultants which should be included under "Other".

Fringe Benefits A break-down of amounts and percentages that comprise fringe benefit costs for employees listed in Personnel, such as health insurance, FICA, retirement insurance, etc.

Travel Compensation of travel costs incurred by staff specifically to carry out project activities. Travel costs for volunteers, advisory counsel, etc. should be included under "Other".

Equipment Non-expendable, tangible property having a value of $5,000 or more per unit, a useful life of more than one year and necessary to carry out project activities. Items less than $5,000 should be included in "Supplies".

Supplies Tangible, expendable property having a value of less than $5,000 per unit and necessary to carry out project activities.

Contractual Sub-contracts with another agency or organization necessary to carry out project activities.

Other All other costs necessary to carry out project acvities not included in any other cost categories. "Other" costs may include postage; building space, equipment rentals/lease; printing and publication; computer use; training and staff development; background checks; communications; utilities and other costs necessary and reasonable for the program. **Special Note:** Title III-E providers must work with project participants to collect NAPIS data (see *Title III Provider Handbook, Section IV.A.*) and submit the data to MNRAAA for reporting. The fee to set up new projects and/or new services in the approved NAPIS data reporting system is an allowable Title III expense. The applicant must include these costs in their budget as follows: One Service = $1,500; Two Services = $2,300; Three Services = $3,100. For two or more services, the costs should be evenly distributed over the number of services to be provided.

Indirect Not allowed. Do not include indirect costs.

OTHER DEFINITIONS

Cost Share Revenue Cost Share Revenue is the portion of project or program costs that are borne by the recipient of services. This revenue is distinct from Voluntary Contributions because it is discussed at intake and may be negotiated. Cost sharing is required for many Title III services. See *Title III Provider Handbook, Section II.G.* for more information. The recommended level of cost-sharing is 50%.

Voluntary Contributions Voluntary contributions shall be allowed and may be solicited for all services for which funds are received if the method of solicitation is non-coercive.

Other Cash Includes non-federal cash revenues (both grantee and third-party) which are recorded in the Title III account. Other Cash can be used in section A. Non-Federal Cash Resources and/or section B. Matching Contribution of the Budget Explanation of Non-Federal Revenue. Cash provided by the grantee must be transferred from the general revenue account(s) into the Title III account. Identify each source of cash seperately and include how the amount was determined.

Grantee Incurred Costs Those items furnished by the grantee which may or may not require a cash outlay during the grant period. Examples of items which may include a cash outlay include supplies, charges for non-Title III project personnel, or office space furnished for the Title III project, which are paid from a grantee account other than the Title III account. Examples of items which may not include a cash outlay include building and/or equipment depreciation or use allowances. (See U.S. DHHS, 45 CFR, Part 92 for limitations of depreciation or use allowance costs.) Computations for determining Grantee Incurred Costs must be included.

Third Party In-Kind Includes all non-cash contributions provided by sources other than the applicant agency. In-Kind contributions must be properly valued and documented for inclusion in the application. Volunteer in-kind time should be calculated at a rate that is commensurate with the wages of persons employed in the same or similar functions.

ATTACHMENT A

APPLICATION FOR PROJECT GRANT UNDER TITLE III OF THE OLDER AMERICANS ACT FOR TITLE III-E NATIONAL FAMILY CAREGIVER SUPPORT SERVICES	PROJECT NUMBER (PROVIDED BY MnRAAA)

A. GENERAL INFORMATION

NAME OF PROPOSED PROJECT	
NAME, ADDRESS & FAX NUMBER OF APPLICANT ORGANIZATION	ADDRESS AT WHICH PROPOSED PROJECT WILL BE CONDUCTED
NAME, PHONE NUMBER & EMAIL ADDRESS OF APPLICANT ORGANIZATION DIRECTOR	NAME, PHONE NUMBER & EMAIL ADDRESS OF PROPOSED PROJECT DIRECTOR,
COUNTY(S) IN PROPOSED SERVICE AREA	PROJECT YEAR FOR WHICH FUNDS ARE HEREIN REQUESTED BEGINNING 01.01.2017 AND ENDING 12.31.2017

B. COMPUTATION OF FUNDS REQUESTED

1.	TOTAL COST		$ -
2.	LESS ESTIMATED PROJECT INCOME:		
	a. COST SHARE REVENUE		$ -
	b. VOLUNTARY CONTRIBUTIONS		$ -
	c. INTEREST INCOME		$ -
	d. OTHER CASH		$ -
3.	NET COST		$ -
4.	NON-FEDERAL SHARE (MATCH)	25.00%	$ -
5.	FEDERAL AMOUNT REQUESTED	75.00%	$ -

C. TERMS AND CONDITIONS

It is understood and agreed by the undersigned that; 1) funds granted as a result of this request are to be expended for the purposes set forth herein and in accordance with all applicable laws, regulations, policies, and procedures of this state, the area agency on aging and the Administration on Aging of the U.S. Department of Health and Human Services; 2) any proposed changes in the proposal as approved will be submitted in writing by the applicant and upon notification of approval by the state or area agency on aging shall be deemed incorporated into and become a part of this agreement; 3) the attached Assurance of Compliance (Form AOA-441) with the Department of Health and Human Services Regulation issued pursuant to Title VI of the Civil Rights Act of 1964 applies to this proposal as approved; and 4) funds awarded by the state or area agency on aging may be terminated at any time for violations of any terms and requirements of this agreement.

NAME AND TITLE OF INDIVIDUAL AUTHORIZED TO COMMIT APPLICANT ORGANIZATION TO THIS AGREEMENT

NAME AND TITLE	SIGNATURE	DATE

PROGRAM BUDGET SUMMARY WITH OR WITHOUT COST SHARING (NON-SDS)

Prject Name: 0

COST CATEGORIES	COSTS TITLE III SERVICE(S) *Service*	*Service*	*Service*	*Service*	*Total*	*Title III Federal Cash*	*Other Cash*	*Third Party In-Kind*
1. Personnel	$0	$0	$0	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0	$0	$0	$0
3. Travel	$0	$0	$0	$0	$0	$0	$0	$0
4. Equipment	$0	$0	$0	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0	$0	$0	$0
6. Contractual	$0	$0	$0	$0	$0	$0	$0	$0
7. Other	$0	$0	$0	$0	$0	$0	$0	$0
8. Total Direct Costs	$0	$0	$0	$0	$0	$0	$0	$0
9. Indirect costs	$0	$0	$0	$0	$0	$0	$0	$0
10. TOTAL COSTS	$0	$0	$0	$0	$0	$0	$0	$0
11. Program Income								
a. Cost Share Revenue	$0	$0	$0	$0	$0			
b. Voluntary Contributions	$0	$0	$0	$0	$0			
c. Interest Income	$0	$0	$0	$0	$0			
d. Other Cash	$0	$0	$0	$0	$0			
12. Net Cost	$0	$0	$0	$0	$0			
13. Federal Share 75.00%	$0	$0	$0	$0	$0			
14. Non-Federal Share 25.00%	$0	$0	$0	$0	$0			
UNIT/COST INFORMATION								
Units to be Provided	0	0	0	0				
Total Cost Per Unit	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!				

MBA (06/3/11)

SUPPORTING BUDGET SCHEDULE WITH OR WITHOUT COST SHARING (NON-SDS)

PROJECT NAME: 0 Page 2 of 3

COST CATEGORIES	COSTS					REVENUE SOURCES		
	Service	Service	Service	Service	TOTAL COSTS	Title III Federal Cash	Other Cash	Third Party In-Kind
PERSONNEL (LIST POSITION, HOURS & RATE)								
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Volunteers	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Personnel	$0	$0	$0	$0	$0	$0	$0	$0
FRINGE BENEFITS (LIST POSITION & RATE)								
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Fringe Benefits	$0	$0	$0	$0	$0	$0	$0	$0
TRAVEL								
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Travel	$0	$0	$0	$0	$0	$0	$0	$0
EQUIPMENT								
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Equipment	$0	$0	$0	$0	$0	$0	$0	$0
SUPPLIES								
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Supplies	$0	$0	$0	$0	$0	$0	$0	$0
CONTRACTUAL								
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Contractual	$0	$0	$0	$0	$0	$0	$0	$0
OTHER								
NAPIS Software Set-Up Fee (if applicable)	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
	$0	$0	$0	$0	$0	$0	$0	$0
Indirect (Rate ____%)	$0	$0	$0	$0	$0	$0	$0	$0
Subtotal Other	$0	$0	$0	$0	$0	$0	$0	$0
GRAND TOTAL	$0	$0	$0	$0	$0	$0	$0	$0

BUDGET EXPLANATION OF NON-FEDERAL REVENUE

PROJECT NAME: 0

A.	**Non-Federal Cash Resources** (identify source and amount)	
	a. Cost-Share Revenue	
	Subtotal	$0
	b. Voluntary Contributions	
	Subtotal	$0
	c. Interest Income	
	Subtotal	$0
	d. Other Cash (e.g., miscellaneous contributions, agency contribution)	
	Subtotal	$0
	Non-Federal Cash Resources - TOTAL	**$0**
B.	**Matching Contribution**	
	1. Other Cash (identify source, amount and results) Results	
	Approved (y/n) *When*	
	a. Donations	
	Subtotal	$0
	b. Grants	
	Subtotal	$0
	c. Other (i.e., agency contribution)	
	Subtotal	$0
	2. Grantee Incurred Costs	
		$0
		$0
		$0
		$0
		$0
	Subtotal	$0
	3. Third Party In-Kind (identify sources and valuation, i.e. volunteer hours @ $/hour)	
		$0
		$0
		$0
		$0
		$0
	Subtotal	$0
	Matching Contribution - TOTAL*	**$0**

*Must equal Total Column Line 14 on Program Budget Summary.

MBA (06/3/11)

PERSONS TO BE SERVED ATTACHMENT D

Caregiver Services	Respite Care		Counseling: Individual & Family; Coaching/Consulting		Counseling: Support Groups; Training/Education	
Unduplicated Number of Caregivers to be Served						
CAREGIVER CHARACTERISTICS						
Race/Ethnicity & Income	Total Number	Below Poverty	Total Number	Below Poverty	Total Number	Below Poverty
White Non-Hispanic						
White Hispanic						
American Indian/Alaskan Native						
Asian						
Black/African American						
Native Hawaiian or Other Pacific Islander						
Other Race						
2 or More Races						
Residents of Rural Areas						
County of Residence						
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8. (Attach another sheet for additional counties.)						

Care Receiver Categories	Respite Care	
Unduplicated # of Care Receivers to be Served		
CARE RECEIVER CHARACTERISTICS		
Race/Ethnicity & Income	Total Number	Below Poverty
White Non-Hispanic		
White Hispanic		
American Indian/Alaskan Native		
Asian		
Black/African American		
Native Hawaiian or Other Pacific Islander		
Other Race		
2 or More Races		

Volunteers (Unduplicated)	Respite Care	Counseling
Total Volunteers		
Age 60 and Over		
Total Volunteer Hours		

OUTCOME FORM

ATTACHMENT E

NEED:

OUTCOME: # _____

OUTCOME MEASURE: # _____

OUTCOME MEASURE: # _____

ACTION STEPS	COMPLETION DATE

ACTION STEPS	COMPLETION DATE

ATTACHMENT G

Agency Information and Fiscal Capacity

A. Lead / Fiscal Agency

Legal Name _____
Contact Person _____
Street Address _____
Mailing Address _____
City / State / Zip _____
Phone/Fax _____
Email _____

B. Type of Agency (mark those that apply)

Private Non-Profit	☐
501c3	☐
Other	☐
Government	☐
Other	☐ Define: _____

Number of years of operation _____

C. Key Personnel

Agency Director:
Name _____
Title _____
Address _____
City / State / Zip _____
Phone/Fax _____
Email _____

Project Coordinator:
Name _____
Title _____
Address _____
City / State / Zip _____
Phone/Fax _____
Email _____

Accounting/Finance Person:
Name _____
Title _____
Address _____
City / State / Zip _____

Phone/Fax _____
Email _____

Governing Board members regularly meet on:	
Number of current members:	

Board Chair:
Name _____
Address _____
City / State / Zip _____
Phone/Fax _____
Email _____

D. Accounting System

Cash: A basis of accounting under which revenue / expenses are recorded when cash is received or disbursed.	
Modified Accrual: A basis of accounting under which revenues are recorded when they are received and expenses are recorded when they result in liabilities for benefits received (not when they are paid).	
Accrual: A basis for accounting under which revenues are recorded when they are earned (not when they are received) and expenses are recorded when they result in liabilities for benefits received (not when they are paid).	

Double-entry Accounting System		
Single-entry Accounting System		
The formal accounting system contains:	Yes	No
General Ledger		
General Journal		
Cash Receipt Journal		
Cash Disbursement Journal		

	Yes	No
Is an up-to-date chart of accounts maintained?		
Is there an up-to-date accounting policies and procedures manual which includes a complete description of the financial management functions?		
Are contract funds accounted for by separate fund accounts identified within the accounting system?		
Does the system adequately identify receipts and expenditures for each grant, contract or sub-contractor from each fund?		
Does the system require that all accounting entries be supported by adequate documentation?		
Are bank accounts reconciled monthly and copies of bank reconciliation kept on file?		

Are financial statements prepared periodically in sufficient detail to disclose significant variations in any category of revenue and expenses?		
Is a trial balance prepated monthly to ensure accounting records are posted correctly and the book (general ledger) is balanced?		
Does the proposer have a written inventory control procedure?		
Are duties and responsibilities separated (segregated) so no one employee has sole control over cash receipts, disbursements and reconciliation of bank accounts?		
Was a certified audit conducted within the last year? Attach a copy of the last audit report if the proposer is not a current Title III provider for the service areas specified in this RFP.		

If a position is paid with multiple funding sources how is the time allocated to each funding source determined? Indicate method and describe in space provided.

Time Study		
Timesheet		
Other (specify)		

ATTACHMENT I

REPORT OF PAST PERFORMANCE
(current Title III recipients only)
·CURRENT PROJECT YEAR·

1. Project Title: _____ Applicant: _____ . Project Year: 01.01.2016 - 12.31.2016	
2. OUTCOMES AND MEASURES	RESULTS (Include activities conducted, measure results, etc.)
Enter Outcomes and Measures Here	*Enter Results Here*

PRIMARY SERVICE (List)	(Service 1)*		(Service 2)*	
3. NUMBER OF UNDUPLICATED PERSONS SERVED	PROJECTED	ACTUAL AS OF 06.30.2016	PROJECTED	ACTUAL AS OF 06.30.2016
A. NUMBER SERVED BY COUNTY (List)				
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10. (Attach another sheet for additional counties.)				
4. NUMBER OF LOW INCOME PERSONS				
5. NUMBER OF MINORITY PERSONS				
6. NUMBER OF SERVICE UNITS PROVIDED (List unit measure for each service)	(Measure)		(Measure)	
Quarter One				
Quarter Two				
Quarter Three		(Estimated)		(Estimated)
Quarter Four		(Estimated)		(Estimated)
Total		(Estimated)		(Estimated)
7. TOTAL UNIT COST				

*Add an additional Page 2 of 2 for more than two services.

ATTACHMENT J

ASSURANCES OF COMPLIANCE AND CERTIFICATIONS REQUIRED BY FEDERAL LAW

1. The applicant/proposer agency understands and agrees that the assurances and certifications listed below are part of the application/proposal and are binding upon the applicant/proposer agency and the conduct of the project subsequent to the award of any funds by the Minnesota River Area Agency on Aging® (MNRAAA).

2. (2) Assurance of Compliance with Section 504 of the Rehabilitation Act of 1973, as Amended *(check appropriate box and provide required information*)

   ☐ The recipient employs fewer than fifteen persons;

   ☐ The recipient employs fifteen or more persons and, pursuant to section 84.7(a) of the regulation [45 CFR 84.7(a)], has designated the following person(s) to coordinate its efforts to comply with the HHS regulations:

_____

Name and Address of Designee(s) if different from Authorized Official listed below

_____

(IRS) Employer Identification Number

3. The person signing below acknowledges and agrees that: (1) the person signing this document is the authorized representative of the applicant/proposer agency; (2) the signature of the authorized official constitutes an acknowledgement that the applicant/proposer agency has received and reviewed each of the listed assurances and certifications [F.(1) through F.(7)]; (3) the authorized official's signature on this form constitutes a signature on each of the listed assurances and certifications [F.(1) through F.(7)]; and (4) the authorized official certifies that all information on this form and the application/proposal is complete and correct to the best of the authorized official's knowledge.

Name of Authorized Official	Name of Applicant/Proposer Agency/Recipient
Title of Authorized Official	Date

Signature of Authorized Official

(1) GENERAL ASSURANCES
AGREEMENT BETWEEN THE APPLICANT/PROPOSER AGENCY AND THE MINNESOTA RIVER AREA AGENCY ON AGING®
UPON SUBMISSION OF PROPOSAL

The applicant/proposer agency submits this application/proposal for a grant/contract award under Title III of the Older Americans Act, as amended, in keeping with the provisions of this section and the information provided in the remainder of this application/proposal.

The applicant/proposer agency HEREBY AGREES:

1. That the project will be carried out in accordance with Title III of the Older Americans Act, the program regulations issued thereto, the policies and procedures established by the MNRAAA, and the terms and conditions of this application/proposal as approved by the MNRAAA Board in making an award of funds.

2. That where subcontracts are proposed for the operating of one or more components of the proposal, and are approved as part of any award of funds under title, the applicant/proposer agency retains full and complete responsibility for the operation of the project in keeping with the policies and procedures established by the MNRAAA for the project. The applicant/proposer agency will be held accountable by the MNRAAA for all project expenditures; and will ensure that all expenditures incurred by the subcontracting agency(ies) will be in accordance with the cost policies and procedures established by the MNRAAA, in keeping with the guidelines of the Administration on Aging. Copies of the proposed subcontracts are submitted with this application/proposal.

3. To cooperate with the MNRAAA in its efforts toward developing a comprehensive and coordinated system of services for older adults, by participating in joint planning efforts and other activities mutually agreed upon to meet this goal.

4. To provide for or participate in such training as may be necessary to enable paid and volunteer project personnel to perform more effectively.

5. To actively seek qualified older persons for paid positions with the project.

6. To make provisions where feasible for volunteer opportunities for older persons.

7. To cooperate and assist in efforts undertaken by the MNRAAA, the Minnesota Board on Aging, the Administration on Aging, or any other agency or organization duly authorized by any of the preceding to evaluate the effectiveness, feasibility and costs of the project.

8. That no personal information obtained from an individual in conjunction with the project shall be disclosed in a form which identifies an individual without the written and informed consent of the individual concerned.

9. To maintain such accounts and documents which will serve to permit determination at any time of the status of funds within the award, including the disposition of all monies received from the MNRAAA, and the nature and amount of all charges claimed against such funds.

10. To keep such records and make reports in such form and containing such information as may be required by the MNRAAA.

11. To comply with equal employment opportunity and affirmative action principles so that employment practices are based solely on the work related abilities and qualifications of employees and job applications. Staff are hired, assigned, and promoted without regard to race, color, religion, sex, age, handicap, or national origin.

Also, the applicant/proposer agency HEREBY CERTIFIES that it has no commitments or obligations which are inconsistent with compliance of these and any other pertinent federal regulations and policies, and that any other agency, organization or party which participates in this project shall have no such commitments or obligations.

(2) ASSURANCE OF COMPLIANCE WITH SECTION 504 OF THE REHABILITATION ACT OF 1973, AS AMENDED

The applicant/proposer agency (hereinafter called the “Recipient”)

HEREBY AGREES THAT it will comply with Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), all requirements imposed by the applicable HHS regulation (45 CFR Part 84), and all guidelines and interpretations issued pursuant thereto.

Pursuant to section 84.5(a) of the regulation [45 CFR 84.5(a)], the Recipient gives this Assurance in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (except procurement contracts and contracts of insurance or guaranty), property, discounts, or other Federal financial assistance extended by the Department of Health and Human Services after the date of this Assurance, including payments or other assistance made after such date on applications for Federal financial assistance that were approved before such date. The Recipient recognizes and agrees that such Federal financial agreements made in this Assurance and that the United States will have the right to enforce this Assurance through lawful means. This Assurance is binding on the Recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear are authorized to sign this Assurance on behalf of the Recipient.

This Assurance obligates the Recipient for the period during which Federal financial assistance is extended to it by the Department of Health and Human Services or, where the assistance is in the form of real or personal property, for the period provided for in section 84.5(b) of the regulation [45 CFR 84.5(b)].

(3) ASSURANCE OF COMPLIANCE WITH CIVIL RIGHTS

The applicant/proposer agency (hereinafter called the “Sub-grantee”)

HEREBY AGREES THAT it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Department of Health and Human Services (45 CFR Part 80 and any amendments thereto) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, national origin, or handicap, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Sub-grantee receives Federal financial assistance from the MNRAAA a recipient of Federal financial assistance from the Department (hereinafter called “Grantor”), and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Sub-grantee by the Grantor, this assurance shall obligate the Sub-grantee, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Sub-grantee for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Sub-grantee for the period during which the Federal financial assistance is extended to it by the Grantor.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Sub-grantee by the Grantor, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Sub-grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representation and agreements made in this assurance, and that the Grantor or the United States or both shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Sub-grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear are authorized to sign this assurance on behalf of the Sub-grantee.

(4) ASSURANCE – NON-CONSTRUCTION PROGRAMS

[OMB Approval No. 0348-0040]
Note: Certain of these assurances may not be applicable to your project or program. If you have questions, contact the MNRAAA. Further, certain Federal awarding agencies may require applicants/proposers to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant/proposer, I CERTIFY that the applicant/proposer:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application/proposal.

2. Will give the MNRAAA, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the MNRAAA Board.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. § 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a merit system of Personnel Administration (5 CFR 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. § 1681–1683, and § 1685–1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101–6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) § 523 and § 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 or 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et

seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application/proposal.

7. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. § 1501–1508 and § 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal Funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. § 276(a) to § 276(a)-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. § 327–333), regarding labor standards for federally assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514: (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. § 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. § 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the MNRAAA Board in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470) EO 11593) identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469(a)-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544), as amended (7 U.S.C. § 2131 et seq.), pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. § 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

(5) CERTIFICATION REGARDING LOBBYING CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS

The Authorized Official of the Applicant/proposer Agency/Recipient (hereinafter called the “Undersigned”) CERTIFIES, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-

LLL, “Disclosure Form to Report Lobbying”, in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the contract documents for all sub awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code, any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Note: If Disclosure Forms are required, contact the MNRAAA.

(6) CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION – LOWER TIER COVERED TRANSACTIONS

By signing this lower tier proposal, the prospective lower tier participant, as defined in 45 CFR part 76, CERTIFIES to the best of its knowledge and belief that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal.

The prospective lower tier participant FURTHER AGREES by submitting this proposal that it will include this clause entitled “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tier Covered Transactions”, without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

(7) U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS GRANTEES/CONTRACTORS OTHER THAN INDIVIDUALS

This certification is required by regulations implementing the Drug-Free Workplace Act of 1988 (45 CFR Part 76, Subpart F). The regulations, published in the January 31, 1989, Federal Register, require certification by grantees/contractors that they will maintain a drug-free workplace. The

certification set out below is a material representation of fact upon which reliance will be placed when HHS determines to award the grant/contract. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants/contracts, or government wide suspension or debarment.

The applicant/proposer agency CERTIFIES that it will provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee/contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

2. Establishing a drug-free awareness program to inform employees about:

    a. The dangers of drug abuse in the workplace,

    b. The grantee/contractor's policy of maintaining a drug-free workplace,

    c. Any available drug counseling, rehabilitation, and employee assistance programs, and

    d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

3. Making it a requirement that each employee to be engaged in the performance of the grant/contract be given a copy of the statement required by paragraph 1.;

4. Notifying the employee in the statement required by paragraph 1. that, as a condition of employment under the grant/contract, the employee will:

    a. Abide by the terms of the statement; and,

    b. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

5. Taking one of the following actions, within 30 days of receiving notice under subparagraph 4.b., with respect to any employee who is so convicted:

    a. Taking appropriate personnel action against such an employee, up to and including termination; or

    b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by Federal, State, or local health, law enforcement, or other appropriate agency;

6. Making a good faith effort to continue to maintain a drug-free workplace, through implementation of paragraphs 1., 2., 3., 4., 5., and 6.

Application Check List

Instructions: Check the box to the right of each section that has been included. Indicate N/A if it is not applicable. The grant application should follow the order of the checklist.

1. Title III-E Application Cover Sheet and Budget Pages 1, 2 & 3	
2. Program Plan (Narrative)	
3. Organizational Chart *(applications for 1st year projects only)*	
4. Needs Assessment/Survey Forms *(if applicable)*	
5. Persons to be Served Form	
6. Outcome Form *(one for each Outcome)*	
7. Project Management (Narrative)	
8. Cost Sharing Documents *(for required services only) (drafts for new applicants, if available)*	
9. Agency Information and Fiscal Capacity	
10. Job Descriptions	
11. Report of Past Performance *(MNRAAA's current Title III-E grantees only)*	
12. Assurances of Compliance and Certifications Required by Federal Law	
12. Application Check List	