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Building the Business Capacity of Aging and Disability Community-Based Networks for Managed Long-Term Services and Supports

Program Announcement and Grant Application Instructions

U.S. Administration for Community Living

FY 2012

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Department of Health and Human Services (HHS)

Administration for Community Living (ACL)

Center for Disability and Aging Policy

Funding Opportunity Title: *Building the Business Capacity of Aging and Disability Networks for Managed Long-Term Services and Supports*

Announcement Type: Initial

Funding Opportunity Number: HHS-2012-ACL-BC-1217

Catalog of Federal Domestic Assistance (CFDA) Number: 93.048

Key Dates: The deadline date for submission of applications is 11:59 p.m., Eastern Time, on August 1, 2012. Letters of intent are due 11:59 p.m., Eastern Time on July 16, 2012.

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

I. FUNDING OPPORTUNITY DESCRIPTION

1. Statutory Authority

The statutory authority for grants under this Program Announcement is contained in Title IV of the Older Americans Act (OAA) (42U.S.C. 3032), as amended by the Older Americans Act Amendments of 2006, P.L. 109-365. (Catalog of Federal Domestic Assistance 93.048, Title IV Discretionary Projects).

2. Background

While managed care has long been part of many states' Medicaid primary care programs, its presence in Medicaid long-term services and supports (LTSS) systems has been less pronounced. However, the past two years have seen a rapid expansion of interest in this area. A recent environmental scan of states' managed long-term services and supports (MLTSS) undertaken for the Centers for Medicare & Medicaid Services (CMS) showed 16 states with MLTSS programs.[1] In addition, a 2011 survey undertaken by the National Association of States United for Aging and Disabilities showed more than half of states either considering or operating Medicaid MLTSS in all or part of their state, many within the next two years.[2]

A number of factors have accelerated this movement toward capitation in states' Medicaid long-term services and supports programs. Capitated systems can offer more flexible benefits packages and other opportunities for integrating acute and long-term service and supports systems, and improving care coordination and community alignment. While states have struggled for years with Medicaid costs taking an ever-increasing share of their budgets, the Great Recession, its accompanying higher demand for Medicaid services, and the loss of temporary Medicaid federal stimulus funding provided under the American Recovery and Reinvestment Act have only exacerbated that strain. Although people receiving Medicaid LTSS represent only 6 percent of the Medicaid population, they account for a disproportionate share of Medicaid spending – nearly half of Medicaid spending overall – making them a logical target for states' cost containment strategies.[3]

In addition to the Medicaid expansion included in the Patient Protection and Affordable Care Act of 2010 (also known as the Affordable Care Act, or the ACA), the ACA has also provided incentives to states to develop new service delivery and payment models in order to achieve the three-part aim of improving care, improving population health and lowering costs, particularly for people dually enrolled in Medicare and Medicaid (also called dual eligibles). In April 2011, the CMS Medicare-Medicaid Coordination Office awarded design contracts to 15 states to develop models for integrating care for dually eligible individuals. In a related effort, in July 2011, CMS released a letter to State Medicaid Directors which discussed opportunities for integrating care and aligning financing for Medicare and Medicaid through capitated and/or managed fee-for-service models, including community-based and institutional long-term services and supports. As of June 2012, 26 states have submitted financial alignment proposals to CMS. Other states are using different CMS authorities, such as Medicaid Section 1115(a) demonstrations, to implement and finance managed care arrangements for integration of their acute and long-term care systems.

The rapid movement toward MLTSS has major implications for aging and disability networks (formal and informal networks of organizations at the local, state and national level that assist and empower people with disabilities, older adults, and their families) and the populations they serve. Managed long-term services and supports offer both opportunities and challenges in terms of advocating with and for individuals receiving services regarding the design and implementation of systems. It also changes or expands business lines with managed care organizations through the creation of service contracts and providing services to managed care plan members.

The goals under such managed systems are to ensure that consumers and their families are aware of their service options, have access to needed services under a person-centered plan, and utilize their resources wisely. These are areas in which many aging and disability services providers have long been engaged, but where resources and technical assistance, particularly related to business planning and rate-setting, may also be necessary. MLTSS systems also offer aging and disability networks an important opportunity to better connect many of the services that they already provide, including network and partnership development, options counseling, person-centered planning, care and transitions management, chronic disease self-management, and benefits outreach and enrollment, as a service package that managed care plans can purchase.

This funding opportunity is intended to assist the Administration for Community Living with providing training and technical assistance to aging and disability networks, particularly those at the community level, to increase their capacity to play leading roles in the design and delivery of managed long-term supports and services in their states.

Purpose, Objectives and Use of Funds

The purpose of this funding announcement is to prepare aging and disability networks, particularly those at the community level, across the country to play strong leadership roles in the development and implementation of managed long-term services and supports systems in their states, and to increase the business capacity of these networks for contracting with managed care organizations. To accomplish this, ACL intends to fund through this announcement a single award to accomplish two primary tasks:

- Design and implement training and technical assistance for aging and disability networks on issues related to MLTSS;
- Assessing aging and disability networks' involvement in MLTSS systems;

Additional information on the expectations for each of these activities is provided below.

- **Training and technical assistance for aging and disability networks**
  Aging and disability networks can play an important role in developing and implementing efficient and effective managed long-term services and supports systems that meet the needs of the populations they serve. Proposals for this funding opportunity should include a plan for providing training and technical assistance to aging and disability networks, particularly community-based organizations, on policy and program topic areas relevant to business planning and development for managed long-term services and supports – developing and pricing service packages (i.e., blended rates), and negotiating and contracting with managed care organizations. Other supporting topic areas might include building coalitions of aging and disability network organizations to support MLTSS efforts, developing partnerships with health-care providers, conflict-free case management, quality measurement and continuous improvement, and other areas. Applicants for this opportunity should propose a training and technical assistance program including a description of delivery method, length, frequency, and any specific target audiences. Delivery method may include conferences, meetings, webinars, on-line curricula, facilitated peer-to-peer learning or a combination of these techniques. Technical assistance should be designed to work in collaboration with training provided through other publicly- and privately-funded MLTSS TA providers, and should

be broadly available to state and local networks and stakeholders.

- **Assessing aging and disability networks' involvement in MLTSS systems** Developing MLTSS systems is a process that is cumulative and occurs over time. While some state and local organizations have been involved at varying levels in such systems redesign efforts for years, others are in the early stages of these changes. As such, the collection and dissemination of information about how aging and disability networks are involved in the development and implementation of MLTSS systems will be critical to these organizations as they engage in such efforts in their states, as well as to ACL, HHS and other Administration efforts related to the planning and implementation of health and long-term services and supports redesign. Applicants for this opportunity should propose a plan for gathering and sharing such information, including case studies on promising practices for engagement and meaningful involvement in the development and implementation of quality MLTSS systems.

Based on the two requirements described above, applicants should explain in detail their plans for addressing each of the key elements of this initiative. Throughout the narrative, applicants should describe the existing resources they plan to use in their efforts as well as any additional resources that may be developed or made available to the successful applicant once the funding is received. They should also describe how the proposed plan will quantifiably impact aging and disability networks and the populations they serve.

To ensure a coordinated and consistent approach to advancing the capacity of aging and disability networks in the area of MLTSS, ACL anticipates that the successful application for this announcement will represent a collaborative effort of organizations with diverse areas of expertise and target populations including older adults, people with physical disabilities, people with intellectual and developmental disabilities. Applicants seeking funding under this announcement may also find it helpful to subcontract out some of the activities undertaken to implement this project to organizations with a successful track record and demonstrated experience in business development related to managed long-term services and supports. Applicants should describe in their narrative both how they will subcontract and/or partner with other organizations to advance the objectives of this opportunity as well as how they will collaborate with other publicly- and privately-funded technical assistance resource centers currently supporting MLTSS efforts. Each application should describe the partner organizations and the role of each partner in the planning, development and implementation of this project. In addition, narratives should also include a description of the collaborative role they will play with other publicly- and privately-funded technical assistance resource centers supporting MLTSS efforts. Letters of support from partners and collaborators are encouraged.

Applicants for this funding opportunity should plan for the convening of a planning meeting, within two weeks of award, for the purpose of reviewing and revising the project work plan. This meeting will be planned in conjunction with ACL and should include other partners and stakeholders with an interest in building the capacity of aging and disability networks related to MLTSS.

II. AWARD INFORMATION

Award type: New Cooperative Agreement
Estimated Federal Funds Available: Up to $250,000
Estimated Number of Awards: one (1)
Projected Start Date: September 30, 2012
Estimated Project Length: up to 36 months, with three 12-month budget periods

The amount of federal funds available for this new funding opportunity is anticipated to be up to $250,000. ACL plans to fund one grant (cooperative agreement) at a federal share of up to $250,000 each year for a total project period of up to 36 months. Funding for years two and three of the project period are contingent upon the availability of funds.

This is a new cooperative agreement, and ACL will be substantially involved in its activities (as listed in Section I. Funding Opportunity Description) by reviewing and approving technical assistance products and participating in planning and training activities, which will be determined by the needs and priorities of state and community-based aging and disability organizations and the Administration for Community Living.

The terms and conditions for this cooperative agreement are as follows and will be incorporated by reference in the Notice of Award (NOA).

The ACL will carry out the following activities for the cooperative agreement noted above:

- The ACL Project Officer will perform the day-to-day federal responsibilities of managing a grant initiative and will work with the grantee to ensure that the minimum requirements for the grant are met.
- ACL will assist the grantee project leadership in understanding the policy concerns and/or priorities of ACL by conducting periodic briefings and by carrying out ongoing consultations.
- Coordinate with other federal agencies (e.g., the Centers for Medicare & Medicaid Services) engaged in managed long-term services and supports systems redesign, and share with the grantee information about other Federally-supported projects and activities relevant to the Center's scope of work.
- ACL and the grantee will work cooperatively to clarify the programmatic and budgetary issues to be addressed by the project. Based on these negotiations, and the planning meeting to be held upon award, the grantee will revise the project work plan detailing expectations for major activities and products during the project period.
- Provide technical advice to the grantee on the provision of training and technical support, grantee work products, and other associated tasks related to the fulfillment of the goals and objectives of this grant.
- Provide consultation to the grantee in identifying emerging issues as they relate to

the goals and objectives of this grant program.

- Assist the grantee with understanding the policy concerns and/or priorities of the ACL Administrator and the Administration for Community Living by conducting periodic briefings and by carrying out ongoing consultations.
- The ACL Project Officer will meet with the Center Director each quarter, or at such other times as are required, to improve the effectiveness of the activities carried out under the Agreement.
- Attend and participate in major project events as appropriate.

The grantee will execute the responsibilities of the cooperative agreement as listed below:

- Collaborate with the ACL in the modification and execution of the work plan.
- Provide training, technical assistance and materials to enhance the skills of aging and disability organizations to respond to and engage in managed long-term services and supports systems in their state.
- Share information with aging and disability network organizations and ACL concerning this initiative as appropriate.
- Involve partners identified in the grantee application in appropriate key activities of this initiative.
- Undertake collaborative efforts to strengthen aging and disability networks' involvement in state and national managed long-term services and supports initiatives
- Fulfill all of the requirements of the grant initiative as detailed in this program announcement
- Provide electronic copies of all document drafts and its semiannual and final reports to facilitate ACL review.

Once a cooperative agreement is in place, requests to modify or amend it or the work plan may be made by ACL or the awardee at any time. Modifications and/or amendments of the Cooperative Agreement or work plan shall be effective upon the mutual agreement of both parties, except where ACL is authorized under the Terms and Conditions of award, 45 CFR Part 74 or 92, or other applicable regulation or statute to make unilateral amendments. When an award is issued the cooperative agreement terms and conditions from the program announcement are incorporated by reference.

III. ELIGIBILITY INFORMATION

1. Eligible Applicants

The competition is open to domestic, public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, and community-based organizations. Consideration will be given to national public and private non-profit agencies and organizations including faith- and community-based organizations (FBOs and CBOs), and national Indian tribal organizations.

For purposes of this competition, national organizations are defined as those entities established with headquarters and administration for an organized group of bodies (local chapters, affiliates, faith- and community-based, and tribal organizations) dedicated to, providing services for, or information to, a major, nationwide segment of older adults and/or persons with disabilities of all types. To be considered for funding, applicants must have demonstrated expertise in working with entities serving older adults and/or persons with disabilities of all types, including, but not limited to, Area Agencies on Aging, Centers for Independent Living, State Units on Aging, State Developmental Disabilities Councils, University Centers for Excellence in Developmental Disabilities, State Protection and Advocacy systems, State Independent Living Councils, and other consumer advocacy organizations. In addition, the successful applicant must have documented experience in the provision of training and technical assistance to the types of agencies listed above, particularly those at the community level, and in partnering with other national aging and disability organizations. Applicants must demonstrate that they have a nationally known presence with aging and disability networks and the capacity to reach their target population on a nationwide basis.

2. Cost Sharing or Matching

Matching funds are not required. Please disregard any reference to "ACL Required Match" found in the Attachments. Please note, applications that include any form of match will not receive additional consideration under the review. Match is not one of the Responsiveness or Application Screening criteria.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications that do not meet the responsiveness criteria outlined below will be administratively eliminated and will not be reviewed. The successful applicant will be an organization that meets the criteria listed below. Applicants **must** conform to the following elements:

a. Applicants must meet the criteria for "national organization" as defined in Section III, Eligibility Information, 1. Eligible Applicants;
b. Applicants must have demonstrated experience in aging and disability policy and programs;
c. Applicants must have demonstrated knowledge and expertise in working with national, state and especially community-level agencies that serve serving older adults and/or persons with disabilities of all types, including, but not limited to, State Units on Aging, State Developmental Disabilities Councils, University Centers for Excellence in Developmental Disabilities, State Protection and Advocacy systems, State Independent Living Councils, Area Agencies on Aging, and Centers

for Independent Living, and other consumer advocacy organizations;

d. Demonstrated expertise in providing value-added training and technical assistance on a range of topics, including, but not limited to, partnership building, program development, service coordination and integration, and business and strategic planning, and the capacity to deliver such training and technical assistance to the entities listed above in criterion c within 30 days of being awarded this cooperative agreement.

e. Demonstrated ability to lead change and innovation within aging and disability networks, especially as it pertains to the range of issues listed above in criterion d.

Application Screening Criteria

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

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

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

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

3. **The Project Narrative must not exceed 15 pages**. NOTE: The Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel **are not counted** as part of the Project Narrative for purposes of the 15-page limit.

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

IV. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

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

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

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

- You may access the electronic application for this program on http://www.grants.gov. You must search the downloadable application page by the Funding Opportunity Number (HHS-2012-ACL-BC-1217) or CFDA number (93.048).
- At the http://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process through http://www.grants.gov because of the time involved to complete the registration process.
- All applicants must have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and register in the Central Contractor Registry (CCR). You should allow a minimum of **five days** to complete the CCR registration.
- **Note**: Failure to submit the correct suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) **or receive subawards directly from the recipients of those grant funds** to:
  1. Be registered in the CCR prior to submitting an application or plan;
  2. Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
  3. Provide its DUNS umber in each application or plan it submits to the OPDIV.

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

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

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

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

Contact person regarding this Program Announcement:

U.S. Department of Health and Human Services
Administration for Community Living
Marisa Scala-Foley
Center for Disability and Aging Policy
Washington, D.C. 20201

Phone Number: 202-357-3516
E-mail: marisa.scala-foley@aoa.hhs.gov

2. Content and Form of Application Submission

a. Letter of Intent

Applicants are required to submit a letter of intent to apply for this funding opportunity to assist ACL in planning for the application independent review process. The purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. The deadline for submission of the letter of intent is July 16, 2012**.** Letters of intent must be emailed to:

U.S. Department of Health and Human Services
Administration for Community Living
Marisa Scala-Foley
Email: marisa.scala-foley@aoa.hhs.gov

b. Project Narrative

The Project Narrative must be double-spaced, on 8 ½" x 11" paper with 1" margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. ACL will not accept applications with a Project Narrative that exceeds 15 pages. The Project Work Plan, Letters of Commitment, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 15-page limit, but all of the other sections noted below are included in the limit.

The components of the Project Narrative counted as part of the 15-page limit include:

Summary/Abstract
Problem Statement
Goal(s) and Objective(s)
Proposed Intervention
Outcomes
Project Management
Evaluation
Dissemination
Organizational Capability

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

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

Problem Statement. This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect older adults and individuals with disabilities of all ages and/or their caregivers (including specific subgroups within those populations), and the health care and social services systems (e.g., the use of health care and/or nursing home services.)

Goals and Objectives. This section should consist of a description of the project's goal(s) and major objectives. Unless the project involves multiple, complex interventions, we recommend you have only one overall goal.

Proposed Intervention. This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in the "Problem Statement". You should also describe the rationale for using the particular intervention, including factors such as: "lessons learned" for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the "right conditions" for the intervention (e.g., existing social, economic or political factors that you'll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, supporters, and/or consumer groups.

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

A "measurable outcome" is an observable end-result that describes how a particular intervention benefits consumers. It demonstrates the functional status, mental well-being, knowledge, skill, attitude, awareness or behavior.) It can also describe a change in the degree to which consumers exercise choice over the types of services they receive, or whether they are satisfied with the way a service is delivered. Additional examples include: a change in the responsiveness or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated in aging and disability networks; new knowledge that can contribute to the field; a measurable increase in community awareness; or a measurable increase in persons receiving services. A measurable outcome is not a measurable "output", such as: the number of clients served; the number of training sessions held; or the number of service units provided.

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

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

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

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

Dissemination. This section should describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project.

Organizational Capability Statement. Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. It should also include the organization's capability to sustain some or all project activities after federal financial assistance has ended.

This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Please attach short vitae for key project staff only. Neither vitas nor an organizational chart will count towards the narrative page limit. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

c. Work Plan

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover all three (3) years of the project period. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the Sample Work Plan format included in Attachment E.

d. Letters of Commitment from Key Participating Organizations and Agencies

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For applications submitted electronically via http://*www.grants.gov*, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may fax them to the ACL Office of Grants Management at 202-357-3467 by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

e. Budget Narrative/Justification

The Budget Narrative/Justification should be provided using the format included as Attachment C of this Program Announcement. Applicants are encouraged to pay particular attention to Attachment C, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required

3. Submission Dates and Times

The deadline for the submission of applications under this Program Announcement is August 1, 2012. Applications must be submitted electronically by 11:59 p.m. Eastern Time, August 1, 2012. Letters of intent must be submitted electronically by 11:59 p.m. Eastern Time, July 16, 2012.

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

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

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

4. Intergovernmental Review

If the funding opportunity is subject to Executive Order (EO) 12372, ''Intergovernmental Review of Federal Programs,'' the program staff must say so. In alerting applicants that they must contact their State's Single Point of Contact (SPOC) to find out about and comply with the State's process under EO 12372, you should inform them that the names and addresses of the SPOCs are listed in the Office of Management and Budget's home page at: *http://www.whitehouse.gov/omb/grants/spoc.html*.

If not subject to the EO, indicate the following:

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

5. Funding Restrictions

Identify any activities which are not fundable under the grant program, e.g., construction and/or major rehabilitation of buildings. This section also may include any other types of funding restrictions, e.g., ceiling amounts for particular activities if an application will consist of multiple programmatic components. This section should also indicate whether pre-award costs are allowable.

The following activities are not fundable:

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

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. Executive Orders on Promoting Efficient

Spending (EO 13589) and Delivering Efficient, Effective and Accountable Government (EO 13576) have been issued and instruct Federal agencies to promote efficient spending. Therefore, if meals are to be charged in your proposal, applicants should understand such costs must meet the following criteria outlined in the Executive Orders and HHS Grants Policy Statement:

Meals are generally unallowable except for the following:

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

6. Other Submissions Requirements

Letters of intent must be emailed to:

Marisa Scala-Foley
Administration for Community Living
Email: marisa.scala-foley@aoa.hhs.gov

V. APPLICATION REVIEW INFORMATION

1. Criteria

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

a. **Project Relevance & Current Need - (10 points);**

b. **Approach - (40 points);**

c. **Budget – (10 points);**

d. **Project Impact - (20 points); and**

e. **Organizational Capacity - (20 points).**

Project Relevance & Current Need Weight: 10 points

Does the proposed project clearly and adequately identify the relevance of the priority areas, as described in this Program Announcement, in relation to current state/community needs? (5 points).

Does the application adequately and appropriately describe and document the key problem(s)/condition(s) relevant to the applicant's purpose/need? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? (5 points)

Approach Weight: 40 points

Is the intervention clearly defined? Does it reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcome(s)? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success? (10 points)

Does the proposed project optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate? (10 points)

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

Does the application describe how state and local organizations will be involved in a meaningful way in the planning and implementation of the proposed project (10 points)

Budget Weight: 10 points

Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project? (5 points)

Are budget line items clearly delineated and consistent with work plan objectives? For Example, has a multiyear budget covering the entire proposed project period been included as well as a budget covering each individual year? (5 points)

Project Impact Weight: 20 points

Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project? Are the anticipated outcomes of the proposed project likely to be achieved and will they significantly benefit the populations affected by the intervention, and the field as a whole? Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in Attachment E of the Program Announcement? (10 points)

Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Is the evaluation also designed to capture "lessons learned" from the overall effort that might be of use to others in the field, especially those who might be interested in replicating the project? (5 points)

Will the dissemination plan get relevant and easy to use information in a timely manner to parties that might be interested in making use of it? (5 points)

Organizational Capacity Weight: 20 points

Do the applicant organization and its partners clearly identify their capacity for carrying out the proposed project and evaluation? Does the applicant organization have the necessary experience in providing training and technical assistance to both aging and disability networks, particularly those at the community level? (10 points)

Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles? Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? (10 points)

2. Review and Selection Process

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

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

3. Anticipated Announcement Award Date

It is anticipated that decisions may be made and awards announced by September 30, 2012. Information about when applicants can expect to learn about the disposition of their applications, whether successful or unsuccessful, will be made available shortly thereafter.

VI. AWARD ADMINISTRATION INFORMATION

1. Award Notices

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

2. Administrative and National Policy Requirements

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

3. Reporting

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

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

4. FFATA and FSRS Reporting

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

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

5. Additional General Provisions

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

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

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

Publicity and Propaganda [Lobbying] – Sec. 503 (a) No part of any appropriation contained in this act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.
(b) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government. (c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

VII. AGENCY CONTACTS

Project Officer:
U.S. Department of Health and Human Services
Administration for Community Living
Washington, DC 20201
Attn: Marisa Scala-Foley

Telephone: (202) 357-3516
E-mail: marisa.scala-foley@aoa.hhs.gov

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

VIII. OTHER INFORMATION

1. Application Elements

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

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

c. **Separate Budget Narrative/Justification, required** (See Attachment C for a Budget Narrative/Justification Sample Format with Examples and Attachment D for a Sample Template).
NOTE: Applicants requesting funding for multi-year grant projects are REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi-year detailed Budget Narrative/Justification.

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

e. **Lobbying Certification, required**

f. **Proof of non-profit status, if applicable**

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

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

i. **Organizational Capability Statement and Vitae for Key Project Personnel.**

j. **Letters of Commitment from Key Partners, if applicable.**

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

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The project description and Budget Narrative/Justification is approved under OMB control number 0985-0018 which expires on 8/31/13. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

ATTACHMENTS

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

Attachment B:
SF 424 – Sample Format with Example

Attachment C:
Budget Narrative/Justification Format – Sample Format with Examples

Attachment D:
Budget Narrative/Justification – Sample Template

Attachment E:
Project Work Plan - Sample Template

Attachment F:
Instructions for Completing the Summary/Abstract

Attachment A: Instructions for Completing Required Forms

(SF 424, Budget (SF 424A), Budget Narrative/Justification)

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

a. Standard Form 424

1. **Type of Submission:** (REQUIRED): Select one type of submission in accordance with agency instructions.

- Preapplication
- Application
- Changed/Corrected Application – If ACL requests, check if this submission is to change or correct a previously submitted application.

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

- New
- Continuation
- Revision

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

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

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

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

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

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

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

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

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

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

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

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

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

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

10. **Name Of Federal Agency**: (REQUIRED) Enter U.S. Administration for Community Living

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

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

Announcement.

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

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

15. **Descriptive Title of Applicant's Project:** (REQUIRED) Enter a brief descriptive title of the project (This is not a narrative description).

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

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

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

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

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

All budget information entered under item 18 should cover the total project period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd of the amount of Federal funds being requested (the amount in

18a). For a full explanation of ACL's match requirements, see the information in the box below. For sub-item 18f (program income), enter only the amount, if any, that is going to be used as part of the required match. Program Income submitted as match will become a part of the award match and recipients will be held accountable to meet their share of project expenses even if program income is not generated during the award period.

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

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

ACL's Match Requirement

Under this and other OAA programs, ACL will fund no more than 75 % of the **project's total cost**, which means the applicant must cover at least 25% of the **project's total cost** with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project's total cost (i.e., the amount on line 18g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your **minimum** required match:

$$\frac{\textbf{Federal Funds Requested * Match Percentage}}{\textbf{Inverse Match Percentage}} = \textbf{Minimum Match Requirement}$$

Examples of varying match levels:

$$\text{1) } \frac{\$100{,}000 \text{ (federal funds requested) * 5\% (match)}}{95\%} = \$5{,}263$$

$$\text{2) } \frac{\$100{,}000 \text{ * 25\%(match)}}{75\%} = \$33{,}333$$

$$\text{3) } \frac{\$100{,}000 \text{ * 35\%(match)}}{} = \$53{,}846$$

65%

<u>4) $100,000 * 45%(match)</u> = $81,818

55%

If the required non-Federal share is not provided by the completion date of the funded project period, ACL will reduce the Federal dollars awarded when closing out the award to meet the match percentage, which may result in a requirement to return Federal funds.

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

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

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

b. Standard Form 424A

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

Section A - Budget Summary

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

Section B - Budget Categories

Column 1: Enter the breakdown of how you plan to use the Federal funds being

requested by object class category (see instructions for each object class category in Attachment C).

Column 2: Enter the breakdown of how you plan to use the non-Federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 1 and 2) by object class category.

Section C – Non Federal Resources

Column A: Enter the federal grant program.

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

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

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

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

Section D –Forecasted Cash Needs

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

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

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

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

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

Column A: Enter the federal grant program

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

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

Column D (third): Enter the requested year four funding, if applicable.

Column E (forth): Enter the requested year five funding, if applicable.

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

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

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

Separate Budget Narrative/Justification Requirement

Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.

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

Line 6a: **Personnel**: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h - Other.

In the Justification: Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6b: **Fringe Benefits**: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

In the Justification: If the total fringe benefit rate exceeds 35% of Personnel costs, provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a break down but you must show the percentage charged for each full/part time employee.

Line 6c: **Travel**: Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under Other. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

In the Justification: Include the total number of trips, number of travelers, destinations, purpose (e.g., attend conference), length of stay, subsistence allowances (per diem), and transportation costs (including mileage rates).

Line 6d: **Equipment**: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is non-expendable tangible personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. If the item does not meet the $5,000 threshold, include it in your budget under Supplies, line 6e.
In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its sub-grantees.

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

Line 6f: **Contractual**: Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.
In the Justification: Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the

contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at $100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR 74.44 for non-profits and 92.36 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

Line 6g: **Construction**: Leave blank since construction is not an allowable costs for this program.

Line 6h: **Other**: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits),non-contractual fees and travel paid directly to *individual* consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs.

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. If meals are to be charged towards the grant they must meet the following criteria outlined in the Grants Policy Statement:

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

In the Justification: Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the work plan or indicate where it is described in the work plan. Describe the types of activities for staff development costs.

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

Line 6j: **Indirect Charges**: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. **State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.** An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the Federal share of your direct costs. Any unused portion of the grantee's eligible Indirect Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

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

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

c. Standard Form 424B – Assurances (required)

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

d. Certification Regarding Lobbying (required)

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

Proof of Non-Profit Status (as applicable)

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

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

Indirect Cost Agreement

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

Attachment B: Standard Form 424A – Sample Format

OMB Approval No. 0348-0044

BUDGET INFORMATION--Non-Construction Programs

SECTION A-BUDGET SUMMARY

Grant Program Function or Activity (a)	**Catalog of Federal Domestic Assistance Number** (b)	**Estimated Unobligated Funds**		**New or Revised Budget**		
		Federal (c)	**Non-Federal** (d)	**Federal** (e)	**Non-Federal** (f)	**Total** (g)
1. LifeSpan Respite	93.048			340,294	113,433	453,727
2.						
3.						
4.						
5. **TOTALS**				340,294	113,433	453,727

SECTION B-BUDGET CATEGORIES

6. **Object Class Categories**	GRANT PROGRAM, FUNCTION OR ACTIVITY				**Total** (5)
	(1) Year 1	(2) Year 2	(3) Year 3	(4)	
a. **Personnel**	71,254	30,000	35,000		136,254
b. **Fringe Benefits**	26,114	15,000	20,000		61,114
c. **Travel**	7,647	5,000	5,000		17,647
d. **Equipment**	10,000	0	0		10,000
e. **Supplies**	9,460	2,500	1,000		12,960
f. **Contractual**	30,171	0	0		30,171
g. **Construction**	0	0	0		
h. **Other**	11,480	55,833	47,334		114,647
i. **Total Direct Charges** (sum 6a-h)	166,126	108,333	108,334		382,793
j. **Indirect Charges @**	20,934	25,000	25,000		70,934
k. **TOTALS** (sum 6i and j)	187,060	133,333	133,334		453,727
7. **Program Income**	None				

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SECTION C-NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other sources	(e) TOTALS
8. Life Span Respite	80,886		32,547	113,433
9.				
10.				
11.				
12. **TOTALS** (sum of lines 8 and 11)	80,886		32,547	113,433

SECTION D-FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. **Federal**	140,294	20,000	50,000	20,000	50,294
14. **Non-Federal**	46,766	12,000	10,000	9,000	15,766
15. **TOTAL** (sum of lines 13 and 14)					

SECTION E-BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d)	(e)
16. Life Span Respite	100,000	100,000		
17.				
18.				
19.				
20. **TOTALS** (sum of lines 16-19)				

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

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Attachment C: Budget Narrative/Justification – Sample Format

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

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	$47,700	$23,554	$0	$71,254	**Federal** Project Director (name) = .5 FTE @ $95,401/yr = $47,700 **Non-Fed Cash** Officer Manager (name) = .5FTE @ $47,108/yr = $23,554 Total $71,254
Fringe Benefits	$17,482	$8,632	$0	$26,114	**Federal** Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Travel	$4,707	$2,940	$0	$7,647	**Federal** Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles $2,457 Lodging: 15 days @ $110/day $1,650 Per Diem: 15 days @ $40/day $600 Total $4,707 **Non-Fed Cash** Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ $500 $1,500 Lodging: 3 days x 3 staff @ $120/day $1,080 Per Diem: 3 days x 3 staff @ $40/day $360 Total $2,940
Equipment	$10,000	$0	$0	$10,000	*No Equipment requested OR:* Call Center Equipment Installation = $5,000 Phones = $5,000 Total $10,000
Supplies	$3,700	$5,760	$0	$9,460	**Federal** 2 desks @ $1,500 $3,000 2 chairs @ $300 $600 2 cabinets @ $200 $400 **Non-Fed Cash** 2 Laptop computers $3,000 Printer cartridges @ $50/month $300 Consumable supplies (pens, paper, clips etc…) @ $180/month $2,160 Total $9,460

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Contractual	$30,171	$0	$0	$30,171	(organization name, purpose of contract and estimated dollar amount) Contract with AAA to provide respite services: 11 care givers @ $1,682 = $18,502 Volunteer Coordinator = $11,669 Total $30,171 *If contract details are unknown due to contract yet to be made provide same information listed above and:* A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other	$5,600	$0	$5,880	$11,480	**Federal** 2 consultants @ $100/hr for 24.5 hours each = $4,900 Printing 10,000 Brochures @ $.05 = $500 Local conference registration fee (name conference) = $200 Total $5,600 **In-Kind** **Volunteers** 15 volunteers @ $8/hr for 49 hours = $5,880
Indirect Charges	$20,934	$0	$0	$20,934	21.5 % of salaries and fringe = $20,934 IDC rate is attached.
TOTAL	$140,294	$40,886	$5,880	$187,060	

Attachment D: Budget Narrative/Justification –– Sample Template

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

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

Attachment E: Project Work Plan – Sample Template

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

Goal:
Measurable Outcome(s):

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

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

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

Goal:
Measurable Outcome(s):

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

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

Attachment E: Project Work Plan, Page 3 – Sample Template

Goal:
Measurable Outcome(s):

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

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

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

Attachment F: Instructions for Completing the Project Summary/Abstract

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, limit the length to 265 words or less, on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

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

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

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

  Products – materials, deliverables.

- A model abstract/summary is provided below:

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

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[1] http://www.nhpf.org/uploads/Handouts/Saucier-slides_05-11-12.pdf

[2] National Association of States United for Aging and Disabilities. (2011). *State of the States Survey 2011: State Aging and Disability Agencies in Times of Change.* http://www.nasuad.org/documentation/nasuad_materials/NASUAD%20States%20Survey%202011.pdf. Washington, DC.

[3] The Henry J. Kaiser Family Foundation. (2011). *Financial Alignment Models for Dual Eligibles: An Update.* http://www.kff.org/medicaid/upload/8260.pdf. Washington, DC.