



Administration for Community Living

Administration on Aging

Alzheimer's Disease Programs Initiative - Grants to States and Communities

HHS-2021-ACL-AOA-ADPI-0083

04/26/2021

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ACL Center:

Administration on Aging

Funding Opportunity Title:

Alzheimer's Disease Programs Initiative - Grants to States and Communities

Funding Opportunity Number:

HHS-2021-ACL-AOA-ADPI-0083

Primary CFDA Number:

93.470

Due Date for Letter of Intent:

03/10/2021

Due Date for Applications:

04/26/2021

Date for Informational Conference Call:

03/03/2021

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 <https://www.grants.gov>. Grants.gov can take up to 48 hours to notify you of a successful submission.

Executive Summary
Additional Overview Content/Executive Summary

Cooperative agreements under this Alzheimer’s Disease Programs Initiative (ADPI) funding opportunity announcement (FOA), are intended to support and promote the development and expansion of dementia-capable home and community-based service (HCBS) systems in **States and Communities**. There are two application options contained in this single FOA: **Grants to**

States (Option A) and Grants to Communities (Option B). No entity is eligible to apply for both State and Community options and no entity is eligible to hold more than one ADPI grant at a time. The dementia-capable systems resulting from program activities under either option are expected to provide quality, person-centered services and supports that help individuals living with dementia and their caregiver remain independent and safe in their communities.

OPTION A: Grants to States

Applicants for **Option A** (36 month cooperative agreements) are the governmental entities within states and territories designated as the state agency for dementia-capability and that have working relationships with their state agencies that enable creating and sustaining a dementia-capable HCBS System. **Option A** has two required objectives, the first of which is the creation, expansion and sustainability of a dementia-capable state HCBS system that includes Single Entry Point/No Wrong Door (SEP/NWD) access for people with dementia and their family caregivers. The second objective is to ensure access to a comprehensive, sustainable set of quality state HCBS that are dementia-capable and provide innovative services to the population with dementia and their caregivers.

States and territories eligible for **Option A** are those that do not have active ACL ADPI State dementia-capability grants. All states without active grants are eligible to apply, however those states that have not benefited from ADSSP grants since before 2014 will be given priority consideration in the post-review decision-making process.

OPTION B: Grants to Communities

Cooperative agreements under **Option B** (36 month cooperative agreements) are available to private and/or public community-based organizations (CBO) that are able to: 1) demonstrate their operation within an **existing** dementia-capable HCBS system dedicated to the population that they serve; and 2) articulate opportunities and additional services in the targeted gap areas that would enhance and strengthen the existing system.

Option B cooperative agreements are designed to aid community-based HCBS providers in addressing three specific service gaps in existing dementia-capable HCBS systems for persons living with or those at high risk of developing Alzheimer's disease and related dementias (ARD) and their caregivers.

Option B applicants must address each of the following three gap areas:

1. Provision of effective supportive services to persons living alone with ARD in the community;
2. Improvement of the quality and effectiveness of programs and services dedicated to individuals aging with intellectual and developmental disabilities with ARD or those at high risk of developing ARD; and
3. Delivery of behavioral symptom management training and expert consultations for family caregivers.

Community-based organizations are only eligible to hold one ADPI grant at a time. All community-based organizations without active ADPI grants are eligible to apply, however those that have not benefited from ADI-SSS and ADPI grant programs since before 2014 will be given priority consideration in the post-review decision-making process.

Additional Application Elements

Highlights of additional program requirements to which **Option A & B** applicants are subject are noted below with further information outlined in the full funding opportunity description:

- Inclusion of a minimum of one dementia-specific evidence-based or evidence-informed intervention (ACL definitions of evidence-based and evidence-informed are provided in this funding opportunity announcement);
- 25% cost sharing/match;
- Dedication of a minimum of 50% of **TOTAL** grant funds to the provision of direct services;
- Pass through projects are prohibited, no project partner may receive more than 20% of the Federal funding received by the Primary Grantee;
- Primary grantee and partners agree to complete initial and then annual Dementia Capability Assessment;
- Robust, third-party, program evaluation, including anticipated program outcomes and measures to demonstrate program impact on persons living with dementia and their caregivers;
- Phased program implementation;
- Data collection, and
- Participation in technical assistance opportunities.

Emailed Letters of Intent are requested (but not required) to be submitted 10 days after the funding opportunity announcement posting date.

ACL will host an informational conference call in relation to this FOA, the call will be recorded and made available to the public immediately following the call.

March 3, 2021 from 3:00 pm – 4:00 pm EST.

The dial-in information is below:

Toll Free Number: 888-935-0259 Passcode: 2896207

A recording will be available soon after the call concludes at the following number:

Toll Free Playback Number: 888-566-0396

Playback will be available for 45 days

Please direct any questions about the programmatic goals and objectives of this FOA to erin.long@acl.hhs.gov.

I. Funding Opportunity Description

The National Institute on Aging defines dementia, a major cause of impairment among older adults, as the loss of cognitive functioning, thinking, remembering, and reasoning and behavioral abilities, to the extent that it interferes with a person's daily life and activities.

Impairment as a result of dementia ranges in severity from the mildest stage, when it is just beginning to affect a person's functioning, to the most severe stage, when the person must depend completely on others for basic activities of daily living. Estimates of the percentage of older persons with dementia vary, but its prevalence increases with age. A number of conditions can mimic dementia, including dehydration, malnutrition, hearing loss, and depression. Medication mismanagement can also result in the appearance of dementia.

People with dementia (70 percent of whom live in the community) and their caregivers use the full spectrum of home and community-based services (HCBS) available from a variety of public and private sector programs. Community dwelling individuals with Alzheimer's disease and related dementias (ADRD) are at an increased risk of, among other things, unmet needs, malnutrition and injury and various forms of neglect and exploitation.[1] The complexity of care of persons with advanced dementia is defined by the severity of functional and cognitive impairment, reliance on surrogate decision-making, inability to live alone and tremendous family/caregiver burden. Behavioral symptoms such as repetitive speech, wandering, and sleep disturbances are a core clinical feature of Alzheimer's disease and related dementias. If untreated, these behaviors can accelerate disease progression, worsen functional decline and quality of life, cause significant caregiver distress, and result in earlier nursing home placement.[2]

Alzheimer's disease is responsible, at least in part, for an estimated 60 percent of cases of dementia.[3] An estimated 5.8 million individuals in the United States are living with Alzheimer's disease, that number is projected to triple by 2050.[4] The anticipated increase is attributed to individuals living longer as a result of advances in medicine and technology, as well as social and environmental conditions[5] and thus advancing to ages at which they are at increased risk of developing ADRD.

Estimates are that about half of older persons with dementia do not have an accurate diagnosis or any diagnosis.[6] It is critically important to identify these conditions correctly to provide for appropriate referrals to dementia-capable services that are supportive of individuals living with dementia and their family caregivers. Given the impact of the dementia on people and communities, state and community service systems that wish to be dementia-capable should consider adopting key aspects of a dementia-capable HCBS model.

A dementia-capable HCBS system should:

1. Identify people with possible dementia and recommend that they see a physician for a timely, accurate diagnosis and to rule out reversible causes of dementia or conditions that resemble it.
2. Ensure that program eligibility and resource allocation take into account the impact of cognitive disabilities.
3. Ensure that staff communicate effectively with people with dementia and their caregivers and provide services that are person- and family-centered, offer self-direction of services, and are culturally appropriate.

4. Educate workers to identify possible dementia, and understand the symptoms of dementia and appropriate services.
5. Educate the public about brain health, including information about the risk factors associated with developing dementia, first signs of cognitive problems, management of symptoms if individuals have dementia, support programs, and opportunities to participate in research.
6. Implement quality assurance systems that measure how effectively providers serve people with dementia and their caregivers.
7. Encourage development of dementia-friendly communities, which include key parts of dementia-capability.

Information on how states and communities can become dementia-capable, thus increasing their ability to help people with dementia and their caregivers can be found in ACL's paper entitled [Dementia Capable States and Communities: Lessons Learned from Administration on Aging Grantees](#). Dementia-capable services within a home and community-based system (HCBS) are those that build upon and integrate existing programs from both private and public sectors.

Public sector partners/programs include, but are not limited to, tribes or tribal organizations, the Centers for Medicare & Medicaid Services (CMS), the Centers for Disease Control and Prevention and the Department of Veterans Affairs.

The ACL's Alzheimer's Disease Programs Initiative (ADPI) is informed by the work and recommendations of [National Alzheimer's Project Act Advisory Council](#) and is dedicated to filling gaps in services, through the provision of HCBS to both targeted special populations and targeted training at both the State and Community levels. The ADPI is implemented under the authority of Title IV of the Older Americans Act of 1965, as amended.

The ADPI program is designed to pilot much needed dementia-capable HCBS programs to states and communities, evaluate program outcomes and using program outcome data to garner support to sustain successful initiatives beyond the federal program period. The ADPI program is intended to advance **non-clinical**, social models of HCBS in support of persons with dementia and their caregivers. It is through programs such as this that the Administration for Community Living (ACL) demonstrates its commitment to its mission to maximize the independence, well-being, and health of older adults, people with disabilities, and their families and caregivers.

NOTE: The ADPI will not consider or fund research projects.

1. Gould, E., Maslow, K., LePore, M., et al. Identifying and Meeting the Needs of Individuals With Dementia Who Live Alone. Accessed January 22, 2021 at <https://nadrc.acl.gov/details?search1=79#result> .
2. Gitlin LN, Kales HC, Lyketsos CG. Non-pharmacologic Management of Behavioral Symptoms in Dementia. JAMA. 2012;308(19):2020-2029. doi:10.1001/jama.2012.36918.
3. Alzheimer's Association. 2019 Alzheimer's Disease Facts and Figures. Accessed January 14, 2021 at <https://www.alz.org/media/Documents/alzheimers-facts-and-figures.pdf> .

4. Alzheimer's Association. 2019 Alzheimer's Disease Facts and Figures. Accessed January 14, 2021 at <https://www.alz.org/media/Documents/alzheimers-facts-and-figures.pdf>.
5. Vincent, GK, Velkof, VA. The Next Four Decades: The Older Population in the United States: 2010-2050. Washington, DC. US Census Bureau, 2010. Accessed January 22, 2021 at <https://www.census.gov/prod/2010pubs/p25-1138.pdf>.
6. Boustani M, Peterson B, Hanson L, Harris R, Lohr, KN. Screening for dementia in primary care: A summary of the evidence for the U.S. Preventive Services Task Force. *Ann Intern Med* 2003; 138(11):927-37.

Statutory Authority

Title IV of the Older Americans Act

II. Award Information

Funding Instrument Type:

CA (Cooperative Agreement)

Estimated Total Funding:

\$ 11,053,915

Expected Number of Awards:

14

Award Ceiling:

\$ 1,000,000

Per Project Period

Award Floor:

\$ 550,000

Per Project Period

Length of Project Period:

Other

Additional Information on Project Periods and Explanation of 'Other'

All awards made in connection with this funding opportunity will be for three-year (36-month) fully funded projects. In other words, the funding, in its entirety, will be made available at the time of award.

III. Eligibility Information

1. Eligible Applicants

Option A is extended to eligible state government agencies designated to serve as the State Units on Aging. **Option B** is open to domestic, community-based public and/or private home and community-based service providers that are operating within an existing dementia-capable system and are able to demonstrate their dementia capability.

Option A: States eligible for this option are those states that do not have active State ADPI dementia-capability grants. Applications from states that have benefitted from ACL's Alzheimer's and related dementia program opportunities between 2014 and 2017 will include in

their narrative a complete description of previously funded activities and program outcomes, as well as a status update of those activities sustained beyond the program funding period. The narrative will also include a clear delineation between the previously funded activities and the proposed program.

Option B of this Funding Opportunity Announcement is designed to extend existing dementia-capable home and community-based services (HCBS) to the special populations targeted and outlined within this announcement. Eligible entities are those that are able to 1) demonstrate their operation **within** an existing dementia-capable HCBS system dedicated to the population that they serve, and 2) articulate opportunities and additional services that would enhance and strengthen the existing dementia-capable HCBS system within which they are operating.

Eligible community-based organizations that have benefitted from ACL's Alzheimer's and related dementia program opportunities between 2014 and 2017 will include in their narrative a complete description of previously funded activities and program outcomes, as well as a status update of those activities sustained beyond the program funding period. The narrative will also include a clear delineation between the previously funded activities and proposed program. This funding opportunity is not extended to entities not operating within an existing dementia-capable HCBS system.

There are no entities that would be eligible to submit applications for both **Option A** and **Option B**.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement:

Yes

For awards that require matching or cost sharing by statute, recipients will be held accountable for projected commitments of non-federal resources (at or above the statutory requirement) in their application budgets and budget justifications by budget period, or by project period for fully funded awards. The applicant will be held accountable for all proposed non-federal resources as shown in the Notice of Award (NOA). **A recipient's failure to provide the statutorily required matching or cost sharing amount (and any voluntary committed amount in excess) may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.**

For awards that do not require matching or cost sharing by statute, recipients are not expected to provide cost sharing or matching. However, recipients are allowed to voluntarily propose a commitment of non-federal resources. If an applicant decides to voluntarily contribute non-federal resources towards project costs and the costs are accepted by ACL, the non-federal resources will be included in the approved project budget. The applicant will be held accountable for all proposed non-federal resources as shown in the Notice of Award (NOA). **A recipient's failure to meet the voluntary amount of non-federal resources that was accepted by ACL as part of the approved project costs and that was identified in the approved budget in the NOA, may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.**

The federal match required for the **State and Community (Options A & B)** program is 25% (cash and/or in-kind). All applicants are required to comply with the 25% match requirement outlined in the funding opportunity announcement (FOA).

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. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (third-party) donations.

Budgetary funds provided from the applicant agency's budget for costs associated with the project are an example of a non-federal cash match.

All proposed matching funds must be **directly** connected to proposed program activities and cannot come from other Federal sources.

ACL discourages applicant agencies exceeding the minimum match requirement. A recipient's failure to provide the matching or cost sharing amount (and any voluntary committed amount in excess) may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.

Applications with a match greater than the minimum required will not receive more favorable consideration under the review.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

All applications will go through an initial programmatic screening to verify that the applicant meets the funding opportunity announcement criteria. Those applicants that do not meet the minimum responsiveness criteria outlined below will be "screened out" and will not be forwarded for panel review.

Applications will be reviewed to establish responsiveness to the following criteria.

The responsive State and Community (**Option A & B**) project applicant:

1. Applicant for **Option A** is an eligible State Unit on Aging. Applicant for **Option B** is a public agency, private nonprofit agency, institution of higher education, and organization, including tribal organizations operating within an existing dementia-capable home and community-based service system;
2. Application names at least one dementia-specific evidence-based or evidence-informed intervention (that complies with the ACL provided definition) directed at persons with dementia and/or caregivers that will be implemented through program activities (see examples in [Grantee-Implemented Evidence-Based and Evidence-Informed Interventions](#));
 - a. Application includes an attachment demonstrating that the proposed, dementia-specific evidence-based or evidence-informed intervention meets definitions to satisfy the programmatic requirement, and

- b. Demonstrate intent to implement it in the project narrative and the proposed work and evaluation plans.

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, by the **due date listed in section IV.3 Submission Dates and Times**.
2. The Project Narrative section of the Application must be **double-spaced**, on 8.5" x 11" plain white paper with **1" margins** on both sides, and a **standard font size of no less than 11 point, preferably Times New Roman or Arial**.
3. The Project Narrative must not exceed 25 pages. **Project Narratives that exceed 25 pages** will have the additional pages removed and only the first 25 pages of the Project Narrative will be provided to the merit reviewers for funding consideration. NOTE: The Project Work and Evaluation Plans, Letters of Commitment, and Vitae of Key Project Personnel, etc. **are not counted** as part of the Project Narrative for purposes of the 25-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 <https://www.grants.gov> or <https://www.acl.gov/grants/applying-grants>.

Please note, ACL requires applications for all announcements to be submitted electronically through <http://www.grants.gov> in Workspace. Grants.gov Workspace is the standard way for organizations and individuals to apply for federal grants in Grants.gov. An overview and training on Grants.gov Workspace can be found here at:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

The [Grants.gov](http://www.grants.gov) registration process can take several days. If your organization is not currently registered, please begin this process immediately. For assistance with <https://www.grants.gov>, please contact them at support@grants.gov or 800-518-4726 between 7:00 a.m. and 9:00 p.m. Eastern Time.

- At the <https://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 because of the time involved to complete the registration process.

- All applicants must have a DUNS number (<https://fedgov.dnb.com/webform/>) and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Effective June 11, 2018, when registering or renewing your registration, you must submit a notarized letter appointing the authorized Entity Administrator. Please be sure to read the FAQs located at www.sam.gov to learn more. Applicants should allot sufficient time prior to the application deadline to finalize a new, or renew an existing registration. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: <https://www.sam.gov/SAM/pages/public/help/samQUserGuides.jsf>.

Note: Once your SAM registration is active, allow 24 to 48 hours for the information to be available in Grants.gov before you can submit an application through Grants.gov. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award.

- Note: Failure to submit the correct EIN 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. Register in SAM prior to submitting an application or plan;
 2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
 3. Provide its DUNS number in each application or plan to submit to the OPDIV.

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 866-705-5711.
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances –

Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.

- After you electronically submit your application, you will receive an automatic acknowledgement from <https://www.grants.gov> that contains <https://www.grants.gov> tracking number. The Administration for Community Living will retrieve your application form from <https://www.grants.gov>.

Application materials can be obtained from <https://www.grants.gov> or <https://www.acl.gov/grants/applying-grants>.

Please note, ACL requires applications for all announcements to be submitted electronically through <http://www.grants.gov> in Workspace. Grants.gov Workspace is the standard way for organizations and individuals to apply for federal grants in Grants.gov. An overview and training on Grants.gov Workspace can be found here at: <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

The [Grants.gov](https://www.grants.gov) registration process can take several days. If your organization is not currently registered, please begin this process immediately. For assistance with <https://www.grants.gov>, please contact them at support@grants.gov or 800-518-4726 between 7:00 a.m. and 9:00 p.m. Eastern Time.

- - At the <https://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 because of the time involved to complete the registration process.
 - All applicants must have a DUNS number (<https://fedgov.dnb.com/webform/>) and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Effective June 11, 2018, when registering or renewing your registration, you must submit a notarized letter appointing the authorized Entity Administrator. Please be sure to read the FAQs located at www.sam.gov to learn more. Applicants should allot sufficient time prior to the application deadline to finalize a new, or renew an existing registration. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: <https://www.sam.gov/SAM/pages/public/help/samQUserGuides.jsf>.

Note: Once your SAM registration is active, allow 24 to 48 hours for the information to be available in Grants.gov before you can submit an application through Grants.gov. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award.

1.
 - Note: Failure to submit the correct EIN 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. Register in SAM prior to submitting an application or plan;
 2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
 3. Provide its DUNS number in each application or plan to submit to the OPDIV.

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 866-705-5711.
 - You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.
 - After you electronically submit your application, you will receive an automatic acknowledgement from <https://www.grants.gov> that contains <https://www.grants.gov> tracking number. The Administration for Community Living will retrieve your application form from <https://www.grants.gov>.

U.S. Department of Health and Human Services
Administration for Community Living

Erin Long, MSW

U.S. Department of Health and Human Services
Administration for Community Living
erin.long@acl.hhs.gov

2. Content and Form of Application Submission

Letter of Intent

Due Date for Letter Of Intent 03/10/2021

03/10/2021

Applicants are requested, but not 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. Letters of intent should be sent to:

Applicants are requested, **but not 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 letter need only indicate intent to apply for program funding, no additional application details are necessary.

The deadline for submission of the letter of intent is 15 days after the publication of the funding opportunity announcement.

Letters of intent should be sent to:

Erin Long, U.S. Department of Health and Human Services Administration for Community Living at erin.long@acl.hhs.gov

Project Narrative

The Project Narrative must be double-spaced, on 8.5" x 11" paper with 1" margins on both sides, and a standard font size of no less than 11 point, preferably Times New Roman or Arial. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is 20 to 25 pages; 25 pages is the maximum length allowed.

Project Narratives that exceed 25 pages will have the additional pages removed and only the first 25 pages of the Project Narrative will be provided to the merit reviewers for funding consideration. The Project Work and Evaluation Plans, Letters of Commitment, Vitae of Key Personnel, and other attachments are not counted as part of the Project Narrative for purposes of the 25-page limit, but all of the other sections noted below are included in the limit.

The sample components of the Project Narrative counted as part of the 25 page limit include:

- Summary/Abstract
- Problem Statement
- Goal(s) and Objective(s)

- Proposed Intervention
- Special Target Populations and Organizations
- Outcomes
- Project Management
- Evaluation
- Dissemination
- Organizational Capability

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether your project meets the minimum requirements for grants under the authorizing statutes. 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 (265 words maximum) description of the proposed project, including: goal(s), objectives, outcomes, and products to be developed. If the applicant is a previous recipient of ACL Alzheimer’s/dementia program funding, that information should be included in the abstract, including a high level description of activities undertaken through earlier funding. Detailed instructions for completing the summary/abstract are included in the “Instructions for Completing the Project Summary/Abstract.”

Problem Statement

In this section **Option A and B (State and Community)** applicants 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 in the community you serve, including how the project will potentially affect older adults and/or people with disabilities, their families, and caregivers as well as the health care and home and community-based service system within which they are operating.

Both **Option A and B** Problem Statements must include:

- Describe the impact of ADRD on the community and population that you serve;
- Describe any previous activities undertaken with ACL funding, if any, including program outcomes and insight into activities sustained beyond federal funding;
- Describe the trainings and services presently available to address behavioral symptom management, and
- Describe the management, systems, financial or other challenges requiring attention in order to implement and sustain programs funded under this opportunity.
- *If the state applicant has benefitted from ACL Alzheimer’s disease and related dementias program funding since 2013 a description of the previous funding activities and outcomes, as well as they ways in which the proposed program builds on previous funding must be included.*

In this section **Option B** Community applicants must:

- Describe the existing dementia-capability of the home and community-based service system within which the applicant organization operates and how it pertains to the target populations;
- Describe the current state of supports and services in relation to the funding opportunity identified three gaps that will be addressed through the proposed program.
- *If the community applicant has previously benefitted from ACL Alzheimer’s disease and related dementias program funding a description of the previous funding activities and outcomes, as well as they ways in which the proposed program builds on previous funding must be included.*

Goals and Objectives

This section should consist of a description of the project’s goal(s) and major objectives. In this section **Option A and B** applicants should:

- Identify your proposed project goal(s) and major objectives (i.e. **State** project objectives or three **Community** project targeted gap areas), including the projected total number of individuals who will benefit from services provided this proposed project;
- *If the community applicant has previously benefitted from ACL Alzheimer’s disease and related dementias program funding a description of the previous funding activities and outcomes, as well as they ways in which the proposed program builds on previous funding must be included;*
- How you plan to address the major challenges identified in the problem statement;
- Description of partnerships, collaborations and innovative activities that will be implemented in support of goal/objective achievement, including the dementia-specific evidence-based/evidence-informed intervention(s) to be implemented in the project;
- Explanation of how program activities will be marketed and participants identified;
- Explanation of anticipated outcomes and the measures to demonstrate program outcomes; and
- Description of the sustainability plan for program elements that are deemed successful.

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 or economic 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.

PLEASE NOTE: When the Project Narrative instructions use the term "intervention," the

applicant is required to address ALL elements that this Funding Opportunity Announcement requires, including the following:

- **Option A:** dementia-capable HCBS system Objectives 1 and 2 and at least one dementia-specific evidence-based or evidence -informed intervention, and
- **Option B:** three required service gap areas and at least one dementia-specific evidence based or evidence -informed intervention.

All interventions proposed to meet the dementia-specific evidence-based or evidence-informed requirement must comply with the ACL standards defined in this funding opportunity announcement. Examples of interventions that meet ACL standards can be found in [Grantee-Implemented Evidence-Based and Evidence-Informed Interventions](#).

Special Target Populations and Organizations

This section should describe how you plan to involve organizations in a meaningful way in the planning and implementation of the proposed project. This section should also describe whether, and if so how, the proposed intervention will target disadvantaged populations, including limited-English speaking populations, those of greatest economic need and those of greatest social need.

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). Each project must include AT LEAST ONE outcome measure to demonstrate their project's impact on the Quality of Life of a person with dementia.**

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 evaluation plan 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. In 2018 the National Alzheimer's and Dementia Resource Center (NADRC) published a compendium of [Evaluation Measure Instruments](#) intended to help providers of dementia-related services identify appropriate and well-researched measures in support of their program evaluation plans.

Applicants are encouraged to consider including a completed program activities matrix in their proposal package, the activities matrix would include: Program area being addressed, Activity proposed, Responsibility for activity, Manner of identification program participants, Participant target numbers, Desired outcomes/tools to measure activity outcomes. A sample grants activity matrix is included in the FOA Appendix C.

A "measurable outcome" is an observable end-result that describes how a particular intervention benefits consumers. It may demonstrate functional status, mental well-being, knowledge, skill, attitude, awareness or behavior. Desirable outcomes from projects targeting individuals living with dementia and their caregivers include, but are not limited to: change in quality of life of the person living with dementia, change in unmet needs, change in stress and/or burden, change in

caregiver self-efficacy, a change in the responsiveness or cost-effectiveness of a service delivery system. **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.

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 the expertise of those designated for leadership roles, as well as who will have day-to-day responsibility for key tasks including 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 by the **third party** evaluator to: 1) determine whether 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. The third-party evaluator will develop and submit an evaluation report to the grantee which will be submitted to the funder as a project deliverable.

Individuals or organizations involved in the development or implementation of any component of the proposed program would not qualify as "third-party" evaluator (i.e. if one University department is involved in program implementation, another University department may not serve as the evaluator). The third-party program evaluation plan will include a matrix (as an application appendix) that reflects the following program components: Activity Proposed, Responsibility for Activity, Manner of Identification of Program Participants, Participant Target Numbers, Outcomes/Tools to Measure Activity Outcomes. A list of appropriate and well researched measurement tools that assess outcomes of importance to dementia-related programs can be found in the National Alzheimer's and Dementia Resource Center's (NADRC) compendium of [Evaluation Measures Instruments](#). A sample activity matrix is included in FOA Appendix B. The third-party evaluator will not be expected to collect or analyze the required Dementia Capability Assessments, the National Alzheimer's and Dementia Resource Center team is responsible for this activity.

The development and implementation of a quality assurance (QA) program which ensures continuous quality improvement should be included in this section. The QA program description will include techniques and tools to demonstrate project outcomes, methods for monitoring and tracking progress toward program goal(s) and objectives, and documentation of both positive and negative lessons learned. This section will include the role in program evaluation of the initial

and annual (each Fall) completion of the Dementia Capability Quality Assessment of the grantee and its partners.

In December 2016 the NADRC conducted a webinar entitled "[Writing an Effective Work Plan and Evaluation Plan](#)" that may be useful in the development of an evaluation plan. Webinar attendees learned: (1) learn how to write project objectives, activities and tasks; (2) learn key elements of an evaluation plan; (3) understand the importance of providing specific details in the work plan and evaluation plan; and (4) find out about available tools and resources.

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

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, including dementia-capability. It should also include the organization's capability to undertake all proposed activities (all of which must be new to the organization) and sustain those program activities deemed successful 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 dementia-specific 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.

Budget Narrative/Justification

The Budget Narrative/Justification can be provided using the format included in the document, "Budget Narrative/Justification – Sample Format." Applicants are encouraged to pay particular attention to this document, which provides an example of the level of detail sought in the document.

A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding, is required. The budget narrative/justification will detail where federal and non-federal funds will be expended over the course of the proposed project.

The budget narrative/justification breakdown should reflect the structure of the project team. Primary grantee personnel and other related programmatic costs would be outlined in the main

sections of the budget, while contract or subgrantee detail (including personnel and other costs) would be included in the contract section of the budget. Pass through projects are prohibited, no project partner may receive more than 20% of the Federal funding received by the Primary Grantee.

The budget narrative/justification must indicate the budget lines where the applicant expects the direct service expenditures to occur - to demonstrate intent to meet the program requirement of dedication of 50% of the program budget to direct services.

The budget narrative/justification must demonstrate the budget lines that will include the required match dollars. Match dollars must be directly connected to program activities articulated in the narrative, work and evaluation plans.

Applicants with budgets requesting indirect cost reimbursement must include a copy of the applicant's most recent indirect cost agreement or cost allocation plan. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application package.

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 HHS requirements.

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, people served 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 "Project Work Plan - Sample Template" format as a reference and resource.

In December 2016 the NADRC conducted a webinar entitled ["Writing an Effective Work Plan and Evaluation Plan"](#) that may be useful in the development of a work plan. Webinar attendees learned: (1) learn how to write project objectives, activities and tasks; (2) learn key elements of an evaluation plan; (3) understand the importance of providing specific details in the work plan and evaluation plan; and (4) find out about available tools and resources.

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 and letters included. Signed letters of commitment detailing organization's roles in the proposed project should be scanned and included as attachments to the applications.

A copy of negotiated indirect cost rate letters should accompany letters of commitment from collaborators/agencies that anticipate collection of a negotiated indirect cost expenses.

A signed letter of commitment from the Third Party Evaluator is required.

3. Submission Dates and Times

Due Date for Applications 04/26/2021

04/26/2021

Date for Informational Conference Call:

03/03/2021

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.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR) and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov web page: <http://www.grants.gov/web/grants/register.html>.

After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only)

If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline because of technical problems with the Grants.gov system, please contact the person listed under For Further Information Contact in section VII of this notice and provide a written explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. ACL will contact you after a determination is made on whether your application will be accepted.

Note: We will not consider your application for further review if you failed to fully register to submit your application to Grants.gov before the application deadline or if the technical problem you experienced is unrelated to the Grants.gov system.

If for any reason (including submitting to the wrong funding opportunity number or making corrections/updates) an application is submitted more than once prior to the application due date, ACL will only accept your last validated electronic submission, under the correct funding opportunity number, prior to the Grants.gov application due date as the final and only acceptable application

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>.

ACL will host an informational conference call in relation to this FOA. March 3, 2021 from 3:00 pm – 4:00 pm EST.

The dial-in information is below:

Toll Free Number: 888-935-0259 Passcode: 2896207

A recording will be available soon after the call concludes at the following number: Toll Free

Playback Number: 888-566-0396

Playback will be available for 45 days

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.

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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>.

4. Intergovernmental Review

This program is not subject to Executive Order (E.O.) 12372, Intergovernmental Review of Federal Programs.

5. Funding Restrictions

The following activities are not fundable:

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

Note: A recent Government Accountability Office (GAO) report 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 (E.O. 13589) and Delivering Efficient, Effective and Accountable Government (E.O. 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. Head Start);*
 - *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 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.)*

The following updated sections 2 CFR 200.216 "Prohibition on certain telecommunications and video surveillance services or equipment" became **effective on or after August 13, 2020**.

Recommended Actions for any recipient that has received a loan, grant, or cooperative agreement **on or after August 13, 2020**:

- Develop a compliance plan to implement 2 CFR 200.216 regulation.

- Develop and maintain internal controls to ensure that your organization does not expend federal funds (in whole or in part) on covered equipment, services or systems.
- Determine through reasonable inquiry whether your organization currently uses “covered telecommunication” equipment, services, or systems and take necessary actions to comply with the regulation as quickly as is feasibly possible.

6. Other Submission Requirements

Letters of intent should be emailed to erin.long@acl.hhs.gov .

V. Application Review Information

1. Criteria

Applicants must document all of their source material. If any text, language and/or materials are from another source, the applicant must make it clear the material is being quoted and where the text comes from. The applicant must also cite any sources when they obtain numbers, ideas, or other material that is not their own. If the applicant fails to comply with this requirement, regardless of the severity or frequency of the plagiarism, the reviewers shall reduce their scores accordingly even to the degree of issuing no points at all.

Applications are scored by assigning a maximum of 100 points across the desired review criteria:

1. Project Relevance & Current Need
2. Approach
3. Budget
4. Project Impact
5. Organizational Capacity

Project Relevance and Current Need

Maximum Points: 15

Option A (STATE)

1. Does the applicant demonstrate capacity to deliver and enhance person-centered services persons of all ages with dementia?
2. Does the applicant provide a clear description of the need for dementia-capability in the state system for the population it serves?
3. Does the applicant provide a clear understanding of the dementia capability of the system within which they are operating?
 - a. If previous program recipient, does the application clearly articulate the way in which previous funded program activities and outcomes impacted the state dementia-capable system, as well as the need for additional resources?
4. Does the proposed project clearly and adequately identify the relevance of the priority areas, as described in this Funding Opportunity Announcement (FOA), in relation to current state/community needs?
 - a. If previous program recipient, does the applicant clearly articulate the way in which previous funded program activities and outcomes impacted the priority areas, as well as the current state of the priority areas?
5. Does the applicant adequately and appropriately describe and document the key problem(s)/condition(s) relevant to the applicant’s purpose/need?

- a. If previous program recipient, does the applicant document the work previously undertaken, as well as the ongoing problems/conditions relevant to the applicants purpose/need?
6. Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge?

Option B (COMMUNITY)

1. Does the applicant demonstrate the capacity to deliver and enhance person-centered services persons of all ages with dementia, including those with intellectual and developmental disabilities?
2. Does this applicant provide a clear description of the need for developing specialized supportive services in the community targeted for service?
 - a. If previous program recipient, does the applicant clearly articulate the way in which previous funded program activities and outcomes served the community and the need for additional resources for targeted community services?
3. Does the proposed project clearly and adequately identify the relevance of the three priority service gap areas, as described in this Funding Opportunity Announcement?
 - a. If previous program recipient, does the proposed new project clearly and adequately describe how the proposed gap activities build upon earlier funded work in the gap areas, not proposing to sustain such work?
4. Does the applicant clearly articulate opportunities and additional services, including each of the three identified gap areas, to enhance and strengthen the existing dementia-capable system?
 - a. If a previous program recipient, does the applicant clearly and adequately articulate how the proposed additional services will build upon earlier funded work, not proposing to sustain such work, to enhance and strengthen the existing dementia-capable system?
5. Does the applicant describe:
 - a. The population of individuals living with Alzheimer's or a related dementia and their caregivers in the community being served?
 1. If previously funded recipient, does the applicant describe the targeted population before and after the earlier funding, as well as the present-day population in the community?
 2. The extent and nature of the needs of that population?
 3. If previously funded recipient, does the applicant describe the extent and nature of the needs of targeted population before and after the earlier funding, as well as the current needs in the community?
 - b. Existing services including numbers of persons with dementia and their caregivers their home and community-based organization is serving?
 1. If previously funded recipient, does the applicant describe the existing services, including articulating what was added and sustained through the previous funding?

6. Does the applicant adequately and appropriately describe and document the key problem(s)/condition(s) relevant to the applicant's purpose/need?
 1. If previous program recipient, does the applicant clearly and adequately describe and document how their previously funded work addressed problems/conditions relevant to the purpose and need at that time and how the proposed additional services will build upon earlier funded work, not proposing to sustain such work, to address continued need?
7. Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge?

APPROACH

Maximum Points: 30

OPTION A (STATE)

Goals/Objectives (9 Points)

1. Are the clear and meaningful goals and objectives of the dementia-capability systems project clearly defined?
 - a. If previous program recipient, does the applicant clearly and adequately describe how the proposed goals and objective build upon previously funded work?
2. Does the applicant clearly articulate how they plan to address the major challenges identified in the problem statement?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
3. Does the applicant clearly identify proposed project goal(s) and major objectives (dementia-capable HCBS systems that meet the two Objectives and core components), including the projected total number of individuals who will benefit from services provided this proposed project?
 - a. Are they reasonable and likely to be achieved?
4. Does the applicant describe partnerships, collaborations and innovative activities that will be implemented in support of goal/objective achievement, including the dementia-specific evidence-based/evidence-informed intervention(s) to be implemented in the project?
5. Does the applicant explain how program activities will be marketed and participants identified?
6. Does the applicant include measurable performance outcome goals and indicators related to program impact, including the quality assurance system's visibility, ease of access, responsiveness to persons with dementia and their family caregivers, efficiency and effectiveness?
7. Does the project take into account barriers and opportunities that exist in the larger environment that may impact project success?

Work/Management Plan (12 Points)

1. Does the application include a work plan? **(Failure to include a Work Plan with the application will result in a score of "zero" for this section.)**

2. Does the work plan include education and training to develop or expand the dementia-capable workforce, to work with and on behalf of persons living with dementia and caregivers?
3. Does the applicant project work plan detail all intended program activities?
 - a. Is the work plan clear and comprehensive, covering ALL years of the proposed project?
4. Does the applicant include in its narrative a management plan that demonstrates the intent to undertake the activities laid out in the work plan?
 - a. Does the management plan include for administration, collaboration and coordination of program activities with other related services or programs?
5. Do the work and management plans clearly delineate the roles and responsibilities of project staff, consultants and partners and link them to specific objectives and tasks?
6. Does the applicant fully describe, through their work plan and management narrative, their methods for achieving the two Objectives (and core components) detailed in the funding opportunity announcement (FOA)?
7. Do the work and management plans provide measurable targets for maximum population coverage of dementia-capable information, referral, and access, options counseling and person-centered care across settings?
8. Does the work plan include training for delivery and implementation of at least one dementia-specific evidence-based/evidence-informed intervention that meets ACL definitions?
 - a. Do the work and management plans include coordinating with intervention developers for implementation, including training, licensing and sustainability planning?
9. Does the applicant include letters of commitment from all individuals/organizations with roles in the work and management plans?
10. Do the work and management plans include sensible timeframes for the accomplishment of the tasks necessary to implement a successful project?
11. Does the work plan include specific objectives and tasks that are linked to measurable outcomes?
 - a. **Does the applicant work plan include program activity that will impact the Quality of Life of people with dementia and be measurable through the proposed evaluation plan?**
12. Does the work plan include a commitment to conduct an initial Dementia Capability Assessment at the beginning of the project and reassess each fall over the course of the program?
13. Does the applicant fully describe their implementation and use of a quality assurance and improvement process that will help ensure delivery of quality, dementia-capable services?
14. Does the project work plan include production and submission of a final report describing how the project was conducted and goals were achieved, as well as ways in which barriers to goal achievement were addressed?

15. Does the work plan include the development and submission of an evaluation report, developed by a third-party evaluator, which demonstrates the outcomes of the project, including the impact of the work on persons living with dementia and paid and unpaid caregivers?

Methods of Addressing the Problem (9 Points)

1. Does the applicant specify services chosen, summarize the rationale for those services and the methods they propose to use in service development, pilot testing and evaluation?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
2. Does the applicant fully describe how people with ADRD and their family will have access to a wide range of person-centered HCBS that promote independence in the community?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
3. Does the applicant include a plan to create and sustain a dementia-capable HCBS system that includes Single Entry Point/No Wrong Door (SEP/NWD) access for people with Alzheimer's disease and related dementias (ADRD) and their caregivers?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
4. Does the applicant propose robust efforts to reach and provide services to underserved populations (i.e. those with the most economic and/or social need, racial or ethnic minority groups, those with limited English-speaking proficiency, or who live in rural areas)?
 - b. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
5. Does the applicant identify and fully describe how they plan to provide at least one dementia-specific evidence-based or evidence-informed intervention in the provision of service?
 - a. Does the applicant include the required attachment describing the proposed evidence-based/evidence-informed intervention and demonstrating that the proposed intervention falls within the ACL definition?

OPTION B

Community Grants

Goals/Objectives (9 Points)

1. Are the clear and meaningful goals and objectives of the dementia-capability systems project clearly defined
2. Does the applicant clearly describe the existing dementia-capable HCBS system within which they operation and how the proposed project will expand on that existing system?

1. If previous program recipient, does the application clearly and adequately describe how the proposed goals and objective build upon previously funded work?
3. Does the applicant clearly articulate how they plan to address the major challenges identified in the problem statement?
 - a. If previous program recipient, does the application clearly articulate how the proposed plans build on previously funded work?
4. Does the applicant describe partnerships, collaborations and innovative activities that will be implemented in support of goal/objective achievement, including the dementia-specific evidence-based/evidence-informed intervention(s) to be implemented in the project?
5. Does the applicant explain how program activities will be marketed and participants identified?
6. Does the application include measurable performance outcome goals and indicators related to program impact, including the quality assurance system's visibility, ease of access, responsiveness to persons with dementia and their family caregivers, efficiency and effectiveness?
7. Does the project take into account barriers and opportunities that exist in the larger environment that may impact project success?

Work/Management Plan (12 Points)

1. Does the application include a work plan? **(Failure to include a Work Plan with the application will result in a score of "zero" for this section.)**
2. Does the work plan include education and training to expand the dementia-capable workforce, to work with and on behalf of persons living with dementia and caregivers?
3. Does the application project work plan detail all intended program activities, including activities addressing **all** three required gap areas?
 - a. Is the work plan clear and comprehensive, covering ALL years of the proposed project?
4. Does the application include in its narrative a management plan that demonstrates the intent to undertake the activities laid out in the work plan?
 - a. Does the management plan include for administration, collaboration and coordination of program activities with other related services or programs?
5. Do the work and management plans clearly delineate the roles and responsibilities of project staff, consultants and partners and link them to specific objectives and tasks?
6. Does the applicant fully describe, through their work plan and management narrative, their methods for achieving the activities in support of the three required gap areas detailed in the funding opportunity announcement (FOA)?
7. Do the work and management plans provide measurable targets for maximum population coverage of dementia-capable information, referral, and access, options counseling and person-centered care across settings?

8. Does the work plan include training for delivery and implementation of at least one dementia-specific evidence-based/evidence-informed intervention that meets ACL definitions?
 - a. Do the work and management plans include coordinating with intervention developers for implementation, including training, licensing and sustainability planning?
9. Does the application include letters of commitment from all individuals/organizations with roles in the work and management plans?
10. Do the work and management plans include sensible timeframes for the accomplishment of the tasks necessary to implement a successful project?
11. Does the work plan include specific objectives and tasks that are linked to measurable outcomes?
 - a. **Does the application work plan include program activity that will impact the Quality of Life of people with dementia and be measurable through the proposed evaluation plan?**
12. Does the work plan include a commitment to conduct an initial Dementia Capability Assessment at the beginning of the project and reassess each fall over the course of the program?
13. Does the application fully describe their implementation and use of a quality assurance and improvement process that will help ensure delivery of quality, dementia-capable services?
14. Does the project work plan include production and submission of a final report describing how the project was conducted and goals were achieved, as well as ways in which barriers to goal achievement were addressed?
15. Does the work plan include the development and submission of an evaluation report, developed by a third-party evaluator, which demonstrates the outcomes of the project, including the impact of the work on persons living with dementia and paid and unpaid caregivers?

Methods of Addressing the Problem (9 Points)

1. **Does the applicant specify services chosen, summarize the rationale for those required gap areas services and the methods they propose to use in service development, pilot testing and evaluation?**
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
2. Does the application fully describe how people living with ADRD and their family will have access to a wide range of person-centered HCBS that promote independence in the community?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?

3. Does the application include a plan to create and sustain a dementia-capable HCBS system that address the required three gap areas in support of people with Alzheimer's disease and related dementias (ADRD) and their caregivers?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
4. Does the applicant propose robust efforts to reach and provide services to underserved populations (i.e. those with the most economic and/or social need, racial or ethnic minority groups, those with limited English-speaking proficiency, or who live in rural areas)?
 - a. If previous program recipient, does the applicant clearly articulate how the proposed plans build on previously funded work?
5. **Does the application identify and fully describe how they plan to provide at least one dementia-specific evidence-based or evidence-informed intervention in the provision of service?**
 - a. Does the applicant include the required attachment describing the proposed dementia-specific evidence-based/evidence-informed intervention and demonstrating that the proposed intervention falls within the ACL definition provided in the FOA?

BUDGET

Maximum Points: 15

Options A and B

1. Does the budget and associated narrative cover the entirety of the proposed project? **(Failure to include a Budget and Budget Narrative with the application will result in a score of "zero" for this section.)**
2. Does the application package include a copy of the applicant's negotiated indirect cost rate, if they are seeking indirect cost reimbursement?
3. Is it clear that the applicant is not proposing conduit or pass-through funding for another agency to lead the project?
 - a. Are the proposed budgets for all project partners at or below limit of 20% of the primary grantee's Federal budget?
 - b. Does the budget clearly delineate between resources dedicated to the Primary Grantee their contractors/sub-grantees (i.e. all contracted funding, including staff should be outlined under contracts in the budget)?
 - c. Has the applicant included letters of commitment for project partners, as well as negotiated indirect cost rate letters for those who are claiming those costs?
 - d. Has the applicant budget complied with salary limitations with no hourly rates exceeding an annual salary rate of \$192,300 exclusive of fringe?
4. Does the budget reflect the 25% match (cash and/or in-kind) match requirement?
5. Does the application reflect an understanding that the applicant agrees to expend not less than 50% of the TOTAL grant funds (Federal and Match) for the provision of direct services to persons with ADRD and their caregivers?
 - a. Does the budget identify where in the budget the direct services will be allocated?

6. Is the time commitment of the proposed Project Director and other key project personnel sufficient to assure proper direction, management and timely completion of the project?
 - a. Are the budget amounts proposed for personnel proportionate to other activities, given the scope of the proposal?
 - b. Does the proposed budget include time and financial resources for the lead agency staff to ensure engagement in and oversight of program activities?
7. Is the budget justified with respect to the adequacy and reasonableness of resources requested?
8. Are budget line items clearly delineated and consistent with work plan objectives?

**Project Impact
Options A and B**

Maximum Points: 25

Project Outcomes (9 Points)

1. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project?
2. Are the proposed outcomes quantifiable and measurable, consistent with the definition of the project outcome contained in the program announcement
3. Does the evaluation plan include the required measure designed to assess program outcomes related to the **Quality of Life in the person living with dementia**?
4. Has the applicant agreed to work with AoA/ACL and comply with any OMB approved reporting requirements and to submit reports according to the required schedule?
5. Does the applicant provide measurable targets for achieving maximum population coverage of dementia-capable information, referral and access for each year of the cooperative agreement period?

Project Evaluation (12 Points) (ACL will not fund any project that does not include measurable outcomes.)

1. Does the applicant include a robust, third-party, evaluation plan that demonstrates the intent to meet program direct service and outcome measure requirements? **(Failure to include an Evaluation Plan with the application will result in a score of "zero" for this section.)**
 - a. Does the applicant name and include a letter of commitment from the proposed third-party evaluator *(the proposed individual or organization's role in the project has zero connection to program implementation)*?
2. Does the evaluation plan demonstrate intent to evaluate the impact of program education and training initiatives designed to expand the dementia-capability of their workforce, in support of their work with and on behalf of persons living with dementia and caregivers?
3. 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 outcomes?
4. Does the evaluation plan include well-articulated, intended program targets, outcomes and outcome measures?

5. Does the evaluation plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes?
6. Is the evaluation designed to capture “lessons learned” from the overall effort?
7. Does the applicant include the development and submission of an evaluation report developed by a third-party evaluator?

Dissemination (2 points)

1. Does the applicant describe the method and related financial resources that will be used to disseminate the project’s results and findings in a timely manner and in easily understandable formats?
2. Is there a dissemination plan to get relevant and easy to use information about the program, the services they are providing?
3. Does the project plan include efforts to disseminate information on project efforts (i.e. program deliverables, conference presentations, web-based methods, media outreach, etc.)?

Sustainability (2 points)

1. Does the applicant include a sufficient plan to ensure sustainability of the grantee’s expanded dementia-capable HCBS system?
2. Does the applicant describe the sustainability plan for program elements that are deemed successful?
 1. If previous program recipient, does the applicant clearly describe the components of their previously funded work were sustained?
3. Is sustainability sufficiently addressed in the work plan?
4. Is there a clear and realistic plan to try to identify resources and avenues through which program activities can continue after Federal Financial assistance has ended?
5. Is sustainability of the program beyond the program period likely?

**Organizational Capacity
Option A and B**

Maximum Points: 15

Organizational Capacity (8 Points)

1. Does the applicant organization clearly articulate their capacity for carrying out the proposed project of funded activities?
2. Do the proposed project director(s), key staff and contracted consultants have requisite dementia background, experience, and other qualifications required to carry out their designated roles?
3. Does the proposed third party evaluator have the necessary experience to plan, conduct and deliver a comprehensive program evaluation report?
4. Are time commitments of key staff sufficient to carry out proposed project activities?
5. Are letters of commitment from partner organizations included, as appropriate?

- a. Do the letters demonstrate clear understanding of partner roles in the project and are those commitments consistent with the work plan description of their intended roles and contributions?

Organization and Management (7 Points)

1. Does the applicant demonstrate the ability and commitment to lead the project?
2. Does the applicant adequately describe organizational ability to work with other state and community-based entities?
3. Does the applicant clearly describe the organizations capacity to undertake the program activities laid out narrative and work plan?
4. Does the application demonstrate the organization's intent/capability to sustain those project activities that deemed successful after Federal program funding has expired?
5. Does the applicant demonstrate commitment and ability to comply with the timeline, content and format of all required Federal data collection and reporting requirements?

2. Review and Selection Process

As required by 2 CFR Part 200 of the Uniform Guidance, effective January 1, 2016, ACL is required to review and consider any information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS), <https://www.fapiis.gov> before making any award in excess of the simplified acquisition threshold (currently \$150,000) over the period of performance. An applicant may review and comment on any information about itself that a federal awarding agency has previously entered into FAPIIS. ACL will consider any comments by the applicant, in addition to other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR Section 200.205 Federal Awarding Agency Review of Risk Posed by Applicants ([https:// www.ecfr.gov/ cgi-bin/ text-idx?node=se2.1.200_1205&rgn=div8](https://www.ecfr.gov/cgi-bin/text-idx?node=se2.1.200_1205&rgn=div8)).

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 governments, 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, ACL. 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.

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 governments, 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, ACL. 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

Award notices to successful applicants will be sent out prior to the project start date.

The anticipated project period start date for this announcement is: 07/01/2021

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, Office of Grants Management. 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. Unless indicated otherwise in this announcement, unsuccessful applications will not be retained by the agency and will be destroyed.

2. Administrative and National Policy Requirements

The award is subject to HHS Administrative Requirements, which can be found in 45 CFR Part 75 and the Standard Terms and Conditions, included in the Notice of Award as well as implemented through the HHS Grants Policy Statement.

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex. This includes ensuring programs are accessible to persons with limited English proficiency. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. Please see the appendix for this announcement to review the entire policy and guidelines.

A standard term and condition of award will be included in the final notice of award; all applicants will be subject to a term and condition that applies the terms of 48 CFR section 3.908 to the award and requires the grantees inform their employee in writing of employee whistleblower rights and protections under 41 U.S.C. 4712 in the predominant native language of the workforce.

Applicants may follow their own procurement policies and procedures when contracting with Project Funds, but You must comply with the requirements of 2 C.F.R. §§ 200.317-200.326.

Additionally, when using Project Funds to procure supplies and/or equipment, applicants are encouraged to purchase American-manufactured goods to the maximum extent practicable. American-manufactured goods are those products for which the cost of their component parts that were mined, produced, or manufactured in the United States exceeds 50 percent of the total cost of all their components. For further guidance regarding what constitutes an American-manufactured good (also known as a domestic end product), see 48 C.F.R. Part 25.

3. Reporting

Reporting frequency for performance and financial reports, as well as any required form or formatting and the means of submission will be noted within the terms and conditions on the Notice of Award.

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 follow this link to access ACL's Terms and Conditions: <https://www.acl.gov/grants/managing-grant#>

VII. Agency Contacts

Project Officer

First Name:

Erin

Last Name:

Long

Phone:

202-795-7389

Office:

Office of Supportive and Caregiver Services

Grants Management Specialist

First Name:

Richard

Last Name:

Adrien

Phone:

202-795-7332

Office:

Office of Grants Management

VIII. Other Information

Application Elements

- *SF 424, required – Application for Federal Assistance (See “Instructions for Completing Required Forms” for assistance).*
- *SF 424A, required – Budget Information. (See Appendix for instructions).*
- *Separate Budget Narrative/Justification, required (See “Budget Narrative/Justification - Sample Format” for examples and “Budget Narrative/Justification – 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.

- *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).*
- *Lobbying Certification, required.*
- *Proof of non-profit status, if applicable*
- *Copy of the applicant’s most recent indirect cost agreement or cost allocation plan, 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.*
- *Project Narrative with Work Plan, required (See “Project Work Plan – Sample Template” for a formatting suggestions).*
- *Vitae for Key Project Personnel.*
- *Letters of Commitment from Key Partners, if applicable.*

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. 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.

Appendix

Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex. This includes ensuring programs are accessible to persons with limited English proficiency. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. Please see <https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html> and <http://www.hhs.gov/oct/civilrights/understanding/section1557/index.html>.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by

persons with limited English proficiency. Please see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> and <https://www.lep.gov>. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>.

- Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>.
- HHS funded health and education programs must be administered in an environment free of sexual harassment. Please see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>; <https://www2.ed.gov/about/offices/list/ocr/docs/shguide.html>; and <https://www.eeoc.gov/sexual-harrassment>.
- Recipients of FFA must also administer their programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws. Collectively, these laws prohibit exclusion, adverse treatment, coercion, or other discrimination against persons or entities on the basis of their consciences, religious beliefs, or moral convictions. Please see <https://www.hhs.gov/conscience/conscience-protections/index.html> and <https://www.hhs.gov/conscience/religious-freedom/index.html>.

Please contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at <https://www.hhs.gov/ocr/about-us/contact-us/index.html> or call 1-800-368-1019 or TDD 1-800-537-7697.

Instructions for Completing Required Forms

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 System for Award Management (SAM), formally the Central Contractor Registry. Information on registering with SAM may be obtained by visiting the Grants.gov website (<https://www.grants.gov>) or by going directly to the SAM website (www.sam.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 (<https://www.grants.gov>). Your DUNS number can be verified at <https://fedgov.dnb.com/webform/>.

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:

<https://www.house.gov/>

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 7/01/2014 to 6/30/2017. 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 75 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 1/3 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 HHS requirements. **If indirect costs are to be included in the application, a copy of the approved indirect cost agreement or cost allocation plan must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an approved cost allocation plan.**

19. Is Application Subject to Review by State Under Executive Order 12372

Process? Please refer to IV. Application and Submission Information, 4. Intergovernmental Review to determine if the ACL program is subject to E.O. 12372 and respond accordingly.

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.)

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.

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.

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 startup 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 breakdown 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 breakdown 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 nonexpendable 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 subgrantees.

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 Part 75 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 Nonprofit 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.

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	<p>Federal</p> <p>Project Director (name) = .5 FTE @ \$95,401/yr = \$47,700</p> <p>Non-Fed Cash</p> <p>Officer Manager (name) = .5FTE @ \$47,108/yr = \$23,554</p> <p>Total 1,254</p>
	\$17,482	\$8,632	\$0	\$26,114	Federal

Fringe Benefits				<p>Fringe on Project Director at 36.65% = \$17,482</p> <p>FICA (7.65%)</p> <p>Health (25%)</p> <p>Dental (2%)</p> <p>Life (1%)</p> <p>Unemployment (1%)</p> <p>Non-Fed Cash</p> <p>Fringe on Office Manager at 36.65% = \$8,632</p> <p>FICA (7.65%)</p> <p>Health (25%)</p> <p>Dental (2%)</p> <p>Life (1%)</p> <p>Unemployment (1%)</p>
Travel	\$4,707	\$2,940	\$0	<p>Federal</p> <p>Local travel: 6 TA site visits for 1 person</p> <p>Mileage: 6RT @ .585 x 700 miles \$2,457</p> <p>Lodging: 15 days @ \$110/day \$1,650</p> <p>Per Diem: 15 days @ \$40/day \$600</p> <p>Total \$4,707</p> <p>Non-Fed Cash</p> <p>Travel to National Conference in (Destination) for 3 people</p> <p>Airfare 1 RT x 3 staff @ \$500 \$1,500</p> <p>Lodging: 3 days x 3 staff @ \$120/day \$1,080</p> <p>Per Diem: 3 days x 3 staff @ \$40/day \$360</p>

					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	\$5,670	\$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
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 <i>If contract details are unknown due to contract yet to be made provide same information listed above and:</i> 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	\$40,866	\$5,880	\$187,060	

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					

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.														
3.														
4.														
5.														
6.														

NOTE: Please do not 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.

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 among those served through this funding (e.g., clients, consumers, systems, organizations, communities) that occur as a result of an organization's or program's activities. These should tie directly back to the stated goals of the funding as outlined in the funding opportunity announcement. (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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APPENDIX A

Definitions

Care Transitions: is a person-centered, interdisciplinary approach to integrating health care and social support services for individuals and their caregivers as they move across settings in which individual needs and preferences are identified, comprehensive service plans are developed and activated, individuals are empowered to take an active role in their healthcare and support and connection to resources are provided by options counselors and/or identified care transition staff. Randomized-controlled trials of care transitions activities (or care coordination programs with care transition elements) have shown positive results, such as significant reductions in hospital

admissions and re-admissions, hospital costs, and nursing facility days. Some examples of these types of interventions include:

- Care Transitions Intervention
- Guided Care
- Transitional Care Model
- GRACE (Geriatric Resources for Assessment and Care of Elders)
- BOOST (Better Outcomes for Older Adults through Safe Transitions) ? The Bridge Program

Centers for Independent Living (CIL): (1) Center for independent living. The term "center for independent living" means a consumer-controlled, community-based, cross-disability, non-residential private nonprofit agency that – (A) is designed and operated within a local community by individuals with disabilities; and (B) provides an array of independent living services such as information and referral, peer counseling, advocacy, and independent living skills training. (2) Consumer control. The term "consumer control" means, with respect to a center for independent living, that the center vests power and authority in individuals with disabilities.

Dementia-capable: Means tailored to the unique needs of persons with dementia stemming from conditions such as Alzheimer's disease and related disorders, and their caregivers. In model dementia-capable systems, programs are tailored to the unique needs of people with Alzheimer's disease and related dementias, and their caregivers:

- Information and assistance services have a method to identify people with possible dementia. Individuals with possible dementia receive a recommendation for follow-up with a physician.
- Options counseling staff communicate effectively with persons with dementia and their family caregivers and know what services this population is likely to need.
- Eligibility criteria and resource allocation take into account the impact of dementia on the need for services.
- Publicly and privately financed services are capable of meeting the unique needs of persons with dementia and their caregivers.
- Self-directed services ensure that persons with dementia and their caregivers are supported in their decision-making and involve others who can represent the person's best interest when necessary.
- Workers who interact with persons with dementia and their caregivers have appropriate training in identifying a possible dementia in persons that they serve, the symptoms of Alzheimer's disease and related dementias, the likely illness trajectory, and services needed. Quality assurance systems measure how effectively individual providers, the Aging Network, and LTSS systems serve persons with dementia and their family caregivers.

Direct Service: Direct Services – there are six specific categories of direct services (adult day care, companion services, home health care, personal care, respite, and short-term care in health care facility) into which program direct service activities must fall. Certain trainings also can be counted toward program direct service requirements.

- **Adult Day Care**— an organized program that takes place outside of the home and provides care for the person with dementia in a congregate setting, but is not a residential setting. Services are supervised and include social engagement or health care for elders who require skilled services or physical assistance with activities of daily living. These services may be also referred to as Adult Day Services and Adult Day Health Services.
- **Companion Services**— companion services include non-medical care, supervision and socialization provided to a participant/client. Companions may assist or supervise the individual with such tasks as meal preparation, laundry, light housekeeping, and shopping. Companion services are typically provided in a participant/client's home but may include time spent accompanying participant/client to access services outside of the home. These services may be also referred to as Homemaker Services.
- **Home Health Care** - in-home assistance that addresses medical needs, such as administering medications and physical therapy. These services may be also referred to as Health Maintenance Care.
- **Personal Care** – in-home assistance with daily living activities, including bathing, dressing, eating, meal preparation, and light housekeeping. These services may be also referred to as Personal Assistance.
- **Respite**—an interval of rest or relief OR the result of a direct dementia-specific service or supportive intervention that generates rest or relief for the caregiver and/or care recipient.
- **Short Term Care in Health Facility** —services provided on a short/long-term basis in a residential or assisted living facility, nursing home, or other long-term care institution because of the absence/need for relief of the regular caregiver.

Disability: As defined by the American's with Disability Act Statutory Definition -- With respect to an individual, the term "disability" means (A) a physical or mental impairment that substantially limits one or more of the major life activities of such individual; (B) a record of such an impairment; or (C) being regarded as having such an impairment. 42

U.S.C. § 12102(2); see also 29 C.F.R. § 1630.2(g). A person must meet the requirements of at least one of these three criteria to be an individual with a disability under the Act.

Elder abuse and neglect: can affect people of all ethnic backgrounds and social status and can affect both men and women. The following types of abuse are commonly accepted as the major categories of elder mistreatment:

- **Physical Abuse**—Inflicting, or threatening to inflict, physical pain or injury on a vulnerable elder, or depriving them of a basic need.
- **Emotional Abuse**—Inflicting mental pain, anguish, or distress on an elder person through verbal or nonverbal acts.
- **Sexual Abuse**—Non-consensual sexual contact of any kind, coercing an elder to witness sexual behaviors.
- **Exploitation**—Illegal taking, misuse, or concealment of funds, property, or assets of a vulnerable elder.
- **Neglect**—Refusal or failure by those responsible to provide food, shelter, health care or protection for a vulnerable elder.
- **Abandonment**—The desertion of a vulnerable elder by anyone who has assumed the responsibility for care or custody of that person.

Eligibility Screening: Is a non-binding inquiry into an individual's income and assets, as necessary, and other circumstances in order to determine probable eligibility for programs, services, and benefits, including Medicaid. This screening should be provided to all individuals who may be eligible for publicly funded programs.

Evidence-based programs or interventions: have been tested through randomized controlled trials and are: 1) effective at improving, maintaining, or slowing the decline in the health or functional status of older people or family caregivers; 2) suitable for deployment through community-based human services organizations and involve non-clinical workers and/or volunteers in the delivery of the intervention; 3) the research results have been published in a peer-reviewed scientific journal; and 4) the intervention has been translated into practice and is ready for distribution through community-based human services organizations. Examples of interventions that meet ACL standard can be found in [Grantee-Implemented Evidence-Based and Evidence-Informed Interventions](#).

Evidence-informed interventions: have substantive research evidence that demonstrates an ability to improve, maintain, or slow the decline in the health and functional status of older people or family caregivers. For the purposes of this announcement, an evidence-informed intervention is one that has: 1) been tested by at least one quasi-experimental design with a comparison group, with at least 50 participants; OR 2) is an adaptation or translation of a **single** evidence-based intervention. Examples of interventions that meet ACL standard can be found in [Grantee-Implemented Evidence-Based and Evidence-Informed Interventions](#).

Long-Term Services and Supports (LTSS): refers to a wide range of in-home, community-based, and institutional services and programs that are designed to help older adults and individuals with disabilities or chronic conditions with activities of daily living or instrumental activities of daily living.

Options Counseling: is a person-centered, interactive, decision-support process whereby individuals receive assistance in their deliberations to make informed long-term support choices in the context of their own preferences, strengths, and values. Essential components of Options Counseling include:

- a personal interview
- assisting with the identification of choices available (including personal, public, and private resources)
- facilitating a decision-support process (weighing pros/cons of various options)
- assisting as requested and directed by the individual in the development of an action plan
- connecting to services (when services are requested and assistance in connecting is requested or needed)
- follow-up

Options Counseling is available to persons regardless of their income or financial assets. Options Counseling is preferably provided by one person but may be collaboratively provided by more than one person or agency.

Palliative Care: is comprehensive treatment of the discomfort, symptoms and stress of serious illness. The goal is to prevent and ease suffering and improve an individual's quality of life.

Person-centered Planning and Services: are those that empower people with disabilities by focusing on the desires and abilities of the individual. Person-centered Planning and Services most importantly are directed by the individual but often involves a team of family members,

friends, and professionals. The individual chooses their team members. This team then identifies the skills and abilities of the individual that can help them achieve their goals of competitive employment, independent living, continuing education, and full inclusion in the community. They also identify areas in which the individual may need assistance and support and decide how the team can meet those needs. While it is recognized that not all of the elements of a complete person-centered plan can be achieved prior to discharge from the hospital, many elements can be addressed. Elements, such as working with the consumer to develop the most independent living arrangement and providing assistance and supports that are desired by the consumer are included. The consumer with involvement of family members, professionals and others work toward the ultimate discharge plan goal of living as independently as possible with home and community-based services.

Program Eligibility Determination: A determination of the publicly supported benefits or services to which a person is eligible, based on non-financial criteria. This may require a formal assessment to determine the full scope of the individual's needs. It may include a functional assessment of the individual's current health conditions and provide a situational assessment of the client's environment, available resources, and current support. For Medicaid services, this function includes the "Level of Care" determination process.

Public Education and Outreach: Activities related to ensuring that all potential users of long-term support (and their families) are aware of both public and private long-term support options, as well as awareness of the ADRC, especially among underserved and hard-to-reach populations.

Single Entry Point (SEP)/No Wrong Door (NWD): is a system that enables consumers to access long-term and supportive services through one agency or organization. In their broadest form, SEPs perform a range of activities that may include information and assistance, referral, initial screening, nursing facility preadmission screening, assessment of functional capacity and service needs, care planning, service authorization, monitoring, and periodic reassessments. SEPs may also provide protective services. [1]

State: Refers to the definition provided under 45 CFR 74.2 indicating that any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of local governments.

Self-direction: is an approach to providing services (including programs, benefits, supports, and technology) intended to assist an individual so that:

1. services (including the amount, duration, scope, provider, and location of the services are planned, budgeted, and purchased under the control of the individual;
2. the individual is provided with the information and assistance necessary and appropriate to enable the individual to make informed decisions about the individual's care options;
3. the needs, capabilities, and preferences of the individual with respect to services, and the individual's ability to direct and control the individual's receipt of services, are assessed by the area agency on aging (or other agency designated by the area agency on aging) involved;
4. based on the assessment made under subparagraph (C), the area agency on aging (or other agency designated by the area agency on aging) develops together with the individual and the individual's family, caregiver (as defined in paragraph (18)(B)), or legal representative:
 1. a plan of services for the individual that specifies which services the individual will be responsible for directing;

2. a determination of the role of family members (and others whose participation is sought by such individual) in providing services under the plan; and\
3. a budget for the services;
4. the area agency on aging or State agency provides for oversight of such individual’s self-directed receipt of services, including steps to ensure the quality of services provided and the appropriate use of funds under this Act.

Senior or Older Adult: as defined in the Older Americans Act, “an individual who is 60 years of age or older.”

Statewide system: is one in which individuals anywhere in the state have streamlined access to the full array of public and private sector programs and services that promote community living, health and independence.

Streamlined eligibility processes: ensure that potential beneficiaries of public programs have easy access through one entry point to programs such as Low Income Heating and Assistance Program (LIHEAP), Medicaid, Medicare Savings Program, Older Americans Act programs, Senior Housing programs, Supplemental Nutrition Assistance Program (SNAP), and transportation services. The required administrative functions of streamlined eligibility include:

- Screening and intake of persons with dementia and their family caregivers for these programs;
- Assessing a person’s needs for these programs;
- Determining whether a person meets or is likely to meet programmatic and financial eligibility requirements;
- Assistance to persons who request it when they choose to apply for any of these programs;
- Developing service plans for these programs as required;
- Ensuring that persons receive the services for which they are found to be eligible.

APPENDIX B

SAMPLE State/Community Grant Activities Matrix

State/Community Grant Number Name of Grant Project: 2019 Activity Matrix

Program Activity	Activity: Exactly what activities are going to be conducted?	Responsibility: Who is going to provide the intervention/services?	How will program participants be identified and recruited?	Outputs: Target numbers of people served	Outcomes (What will change?)

AoA-Sponsored Resource Centers

National Alzheimer's and Dementia Resource Center (NADRC) supports

Alzheimer's/dementia program grantees and their community partners' efforts to maintain integrated and sustainable service delivery systems for individuals with AD/DRD and their family

caregivers. Materials developed through the efforts of the resource center can be found at:
<https://www.nadrc.acl.gov>

[Technical Assistance Centers for Caregiver Programs and Lifespan Respite](#) - offer comprehensive information and training on a range of issues associated with the development and implementation of family caregiver support and Lifespan Respite Care Programs. Technical

Assistance available includes two web sites (<http://www.caregiver.org> or <http://www.archrespice.org>) training materials, fact sheets, policy briefs, workshops, webinars, and specialized technical assistance through phone calls, emails and in-person communication.