Administration for Community Living

Center for Innovation and Partnership

Strengthening the Direct Care Workforce: A Technical Assistance and Capacity Building
Initiative
HHS-2022-ACL-CIP-DNCW-0086
07/13/2022

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ACL Center:
Center for Innovation and Partnership

Funding Opportunity Title:
Strengthening the Direct Care Workforce: A Technical Assistance and Capacity Building
Initiative

Funding Opportunity Number:
HHS-2022-ACL-CIP-DNCW-0086

Primary CFDA Number:
93.048

Due Date for Letter of Intent:
Date will be generated on synopsis publication

Due Date for Applications:
07/13/2022

Date for Informational Conference Call:
05/17/2022

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

The Administration for Community Living (ACL) funds services and supports provided by networks of community-based organizations and with investments in research, education, and innovation, ACL helps make community living a reality for millions of Americans. The ability of older adults and people with disabilities of all ages to live in the community, in the settings of their choice and to participate fully in community life is often dependent upon the availability of services and supports provided by a workforce of Direct Care Workers (DCWs). This workforce includes people identified by a range of different job titles including personal care attendants, home health aides, job coaches, direct support professionals, residential workers and others who provide similar supports. While titles, required skills and responsibilities differ, all direct care workers should have access to quality jobs with adequate training and support, compensation, voice in their working environment, an opportunity for growth through a career ladder or lattice, and broad recognition of their value in the long-term supports system.

The current shortage of workers and frequent turnover not only compromises the ability of older adults and people with disabilities to live in the community, but it can also compromise their health and safety. The need for direct care workers, which is great now, is projected to grow significantly in the next decade as the number of older adults increases. The recruitment, retention, and development of a competent workforce is critical to providing home and community services so that older adults and people with disabilities can live, work, and participate in the community. Through this new initiative, ACL will support the establishment of a National Technical Assistance Center designed to strengthen the home and community-based services DCW workforce. The technical assistance center will focus strategies and practices at a systems level as well as at the service provider level.

ACL will award one (1) cooperative agreement from this Notice of Funding Opportunity (NOFO). Applicants should carefully describe the approach they will take to address the requirements of this initiative to strengthen DCW workforce capacity for the older adult population, people with disabilities (PWD).

I. Funding Opportunity Description

A. STATEMENT OF NEED:

Over the past several decades, the public service system has responded to the preference of older adults and people with disabilities to live in their own homes and communities. A majority of the people who receive home and community-based services (HCBS) are older adults and people with disabilities of all ages, including those with intellectual and development disabilities (ID/DD). For example, in 2018 approximately 14 million adults living in the community needed some type of HCBS to do so.[1] The successful provision of HCBS to older adults and people with disabilities of all ages is dependent on the availability of a well-trained, stable direct care workforce.

The population demographics in the United States are shifting, resulting in an increase in the number of older adults needing services and supports. Consequently, competition for workers has intensified. The pipeline of people entering the DCW workforce is not keeping pace with the number of DCWs needed by the populations of individuals who rely on them, further exacerbating the shortage. In fact, DCW professionals are one of the highest in-demand employment categories of professionals in the U.S. The expansion needed in this workforce is unlikely to take place without significant changes in how they are recruited, trained, paid and

supported. Nationwide statistics show the gravity of the situation:

- In 2021, DCWs providing HCBS were paid a median hourly wage of $14.20.[2]
- The direct care workforce that provides services in the community is projected to add more than one million new jobs from 2020 to 2030, a growth of 33 percent which is much faster than the average for all occupations. With 600,000 openings projected each year, on average, over the decade, this workforce ranks fifth among all U.S. occupations for total projected job openings.[3]
- Because poverty rates are high among DCWs due to low wages, over half rely on some form of public assistance.[4]
- Across states, the turnover rate for DCWs ranged from 26.7% to 79.5%; the weighted average turnover rate was 42.8%[5].

The numerous challenges posed by the inadequate number of the DCWs, including high turnover rates, was further exacerbated during the COVID-19 pandemic as a population of mostly low-wage, female workers of color left the workforce.[6] As a result, DCWs and their employers have lacked sufficient resources to deliver quality care through this crisis, which has disproportionately impacted the populations that make up most of their clients and residents: older adults (specifically those with certain underlying conditions), people with disabilities, and people of color.[7] In addition to high rates of turnover, shifting population demographics, low wages, poor access to health insurance and other benefits, high stress, insufficient training, and lack of professional recognition and status as skilled professionals has led to a publicly recognized caregiving crisis, the addressing of which is a key priority of the Biden-Harris administration.

The exacerbation of the DCW crisis by the pandemic has had a considerable negative impact on HCBS agencies to provide quality services. For example, the American Network of Community Options and Resources' (ANCOR) *2021 State of America's Direct Support Workforce Crisis Survey,* found that:

- **77% of providers are turning away new referrals**, a 16.7% increase since the beginning of the pandemic.
- **58% of providers are discontinuing programs and services**, a 70.6% increase since the beginning of the pandemic.
- **81% of providers are struggling to achieve quality standards**, a 17.4% increase since the beginning of the pandemic.
- **92% of providers report that the COVID-19 pandemic continues to complicate their ability to recruit and retain** qualified direct support professionals.[8]

[1] Edem Hado and Harriet Komisar, Long-Term Services and Supports (Washington, DC: AARP Public Policy Institute, August 2019) Retrieved from http://www.advancingstates.org/sites/nasuad/files/LTSS%20Fact%20Sheet%202019.pdf

[2] Bureau of Labor Statistics Occupational Employment and Wages, May 2021 31-1120 Home Health and Personal Care Aides. Retrieved from https://www.bls.gov/oes/current/oes311120.htm

[3] Bureau of Labor Statistics Occupational Outlook Handbook. Retrieved from
https://www.bls.gov/ooh/healthcare/home-health-aides-and-personal-care-aides.htm
[4] McCall, S. (2017). U.S. Home Care Workers: Key Facts. PHI. Retrieved from
https://www.phinational.org/resource/u-s-home-care-workers-key-facts/
[5] National Core Indicators. (2022). National Core Indicators Intellectual and Developmental
Disabilities 2020 Staff Stability Survey Report. Retrieved from
https://www.nationalcoreindicators.org/staff-stability-survey/
[6] Ewing-Nelson, C., & Tucker, J. (2021). A Year into the Pandemic, Women are Still Short
Nearly 5.1 Million Jobs [Fact sheet]. National Women's Law Center. Retrieved from
https://nwlc.org/wp-content/uploads/2021/03/Feb-Jobs-Day-v2.pdf
[7] Campbell, S., Del Rio Drake, A., Espinoza, R., & Scales, K. (2021). Caring for the Future:
The Power and Potential of America's Direct Care Workforce. Bronx, NY: PHI. Retrieved from
https://phinational.org/resource/caring-for-the-future-the-power-and-potential-of-americas-
direct-care-workforce/
[8] American Network of Community Options and Resources' (ANCOR) (*2021*). State of
America's Direct Support Workforce Crisis Survey. Retrieved from
https://www.ancor.org/sites/default/files/the_state_of_americas_direct_support_workforce_crisis
_2021.pdf

B. PREVIOUS EFFORTS TO STRENGTHEN THE DCW:

In the past, ACL and other federal partner initiatives to strengthen the DCW have focused on improvement within a specific program, payor source, or for a specific population. Discrete activities targeted improving professional identity and recognition; building skills in recruitment, selection, training and retention of DCWs; fostering innovative provider models (e.g., cooperatives); and using technology-enhanced supports. The scope of the current challenges to recruiting and retaining DCWs requires a more comprehensive approach to meet demand and promote community living. ACL is uniquely positioned to support this effort.

Federal agencies have developed resources and guides to promote a stable and reliable direct care workforce. These efforts have strengthened our collective knowledge base, provided important guidance and established a foundation for a more comprehensive effort.   The most recent ACL DCW effort, Blazing New Trails for Community-Based Direct Support Professionals Prize Challenge, called on innovators to develop and pilot models that will transform the DCW workforce. Examples of other federal resources include:

- DSW Core Competency Project
- *The CMS National Direct Service Workforce Resource Center*
- Coverage of Direct Service Workforce Continuing Education and Training within Medicaid Policy and Rate Setting - A Toolkit
- Overviews of Workforce Challenges and Effective Improvement Strategies
- Strengthening the Entry-Level Health Care Workforce: Finding a Path
- Visualization tool, Entry-Level Health Care Workforce: Information and Programs
- BULLETIN 2010- 31 New National Guidelines for Apprenticeship Standards for the National Alliance for Direct Support Professionals (NADSP) and the American Network of Community Options and Resources (ANCOR)

- [Workforce Development Through NWD Systems/ADRCs](#)
- [The Need for Monitoring the Long-Term Care Direct Service Workforce and Recommendations for Data Collection](#)

ACL seeks to address the DCW crisis by establishing a new, National Technical Assistance (TA) Center initiative to catalyze change at a systems level that will address the insufficient supply of trained DCWs, promote promising practices at all levels of the service system and improve data collection to enable a full understanding of the workforce issue. The TA Center will leverage and build off the existing knowledge and resources, including those listed above.

Legislative and Policy Context

ACL is grounding this new initiative in separate, but overlapping, legislative and policy contexts. Because it is funded by Developmental Disabilities Assistance and Bill of Rights Act, Rehabilitation Act, and Older Americans Act dollars, the successful grantee is expected to propose activities across the priority areas that directly address the DCW needs of people with disabilities and older adults. In this regard, applicants should be familiar with and speak to the specific requirements of the authorizing legislation behind this initiative (and their associated policy and practice implications):

Section 411(13) of the Older Americans Act: *"*In coordination with the Secretary of Labor, the demonstration of new strategies for the recruitment, retention, or advancement of direct care workers, and the soliciting, development, and implementation of strategies— (A) to reduce barriers to entry for a diverse and high quality direct care workforce, including providing wages, benefits, and advancement opportunities needed to attract or retain direct care workers; and (B) to provide education and workforce development programs for direct care workers that include supportive services and career planning;"[9]

Section 161 (2) of the Developmental Disabilities Assistance and Bill of Rights Act: Projects of National Significance (PNS) "create opportunities for individuals with developmental disabilities to directly and fully contribute to, and participate in, all facets of community life; and support the development of national and State policies that reinforce and promote, with the support of families, guardians, advocates, and communities, of individuals with developmental disabilities, the self-determination, independence, productivity, and integration and inclusion in all facets of community life of such individuals."[10]

Section 21 program of the Rehabilitation Act of 1973: Requires ACL to set aside one percent of its annual appropriations to address traditionally underserved populations. ACL uses the funding to support several projects, including the Native American Independent Living Demonstration Projects and the Independent Living Transition Services for Youth and Young Adults with Significant Disabilities from Minority Backgrounds research project. Additionally, ACL focuses on research capacity building for minority entities, such as Historically Black Colleges and Universities and institutions, serving primarily Hispanic, Asian, and American Indian or Alaska Native students, and non-minority entities with an interest in improving understanding about the needs and outcomes of individuals with disabilities from minority populations.[11] Applicant(s) must include a Memorandum of Understanding (MOU) from one of the following: Minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act of 1973 as amended, minority entities and Indian tribes to conduct research, training, technical assistance, or a related activity, to improve services provided under the Rehabilitation Act of 1973 as amended, especially services provided to

individuals from minority backgrounds.

While no new funds were specifically appropriated for this initiative, the House FY 2022 budget report also included the following statement from appropriators: "The agreement encourages ACL to coordinate with the Department of Labor (DOL) to identify and reduce barriers to entry for a diverse and high-quality direct care workforce, and to explore new strategies for the recruitment, retention, and advancement opportunities needed to attract or retain direct care workers." In this regard, ACL believes this new initiative which will be developed in collaboration with DOL and other federal partners, will be an important first step in addressing an issue of vital importance to state infrastructures, older adults with long-term support needs, people with disabilities, and the families and family caregivers who need support in their roles.

[9]Older Americans Act of 1965 [Public Law 89–73] [As Amended Through P.L. 116–131, Enacted March 25, 2020]. Retrieved from https://acl.gov/sites/default/files/about-acl/2020-04/Older%20Americans%20Act%20Of%201965%20as%20amended%20by%20Public%20Law%20116-131%20on%203-25-2020.pdf
[10] An Act to Improve Service Systems for Individuals with Developmental Disabilities, and for Other Purposes. (PL 106-442) U.S. G.P.O., 2000. Retrieved from https://acl.gov/sites/default/files/about-acl/2016-12/dd_act_2000.pdf
[11] The Rehabilitation Act of 1973 [As Amended Through P.L. 114–95, Enacted December 10, 2015] Retrieved from https://acl.gov/sites/default/files/about-acl/2020-07/rehabilitation-act-of-1973-amended-by-wioa.pdf

C. PROGRAM GOALS:
ACL will fund one (1) five-year cooperative agreement to create and maintain a National Technical Assistance Center to expand and strengthen the direct care workforce. When fully operational, ACL envisions the TA center will become a central hub for state, private, and federal entities involved in the hiring and workforce development associated with the delivery of HCBS to access a curated array of model policies, best practices, training materials, technical assistance and learning collaboratives. In developing their proposals, applicants should describe the approaches they will employ to help realize ACL's vision.

The goal of this initiative is to strengthen the DCW to better meet the needs of older adults and people with disabilities and their families and family caregivers. ACL recognizes that, while many areas of overlap exist between older adult and people with disabilities and their families and family caregivers, there are unique considerations and opportunities posed by each that applicants should consider and address in their applications. Applicants should consider the cross-disability and aging population focus sought by ACL in this initiative and propose activities accordingly.

Outcomes

Through this new initiative, ACL seeks to advance capacity to recruit, train and retain a high-quality, competent, and effective direct care workforce of professionals capable of meeting the growing needs that older adults and people with disabilities have for such supports. To that end, ACL seeks the following outcomes from this initiative:

1. Increase the availability and visibility of tools and resources to attract, train and retain the direct care workforce in quality jobs where they earn livable wages and have voice in their working environment, and have access to benefits and opportunities for advancement.
2. Increase the number of states that develop and sustain collaborations across state systems and workforce agencies to implement strategies that will improve the recruitment, retention, and advancement of high quality DCW jobs.

D. KEY FEATURES:
Applicant(s) should respond to this funding announcement by submitting proposals that describe a well-designed, strategic approach they will take, if funded, to create and maintain a National TA Center focused on expanding and strengthening the direct care workforce. Applicant(s) should explain how they plan to implement the required activities outlined in this subsection along with any other activities they deem necessary to achieve the outcomes listed in Subsection C above.

Addressing the Knowledge Gap
To date, considerable work has been done to understand and address the factors associated with the current DCW crisis. As a result, there exists a considerable array of information, research, and analysis around this issue in different locations. ACL believes there is an opportunity for this initiative to curate, analyze, and synthesize the "best of the best" knowledge in this area and present it in a way that is accessible and usable by state, private, and federal entities involved in hiring and workforce development as well as older adults, individuals with disabilities, family caregivers and DCW -the intended audiences of the TA Center.

Applicants should describe how they plan to identify, review, analyze and synthesize resources to support the development of a stable, reliable, and well-trained direct care workforce and how they will curate this information to maximize its usefulness to state agencies, employers and other stakeholders. Applicants should describe the specific activities they will undertake to identify and curate information and the scope of knowledge, resources and materials targeted for the search. Such activities may include (but are not limited to): environmental scans, literature reviews and meta-analyses, requests for information, focus groups, key informant and stakeholder interviews, consultation with subject matter experts, and engagement of federal agencies across the federal government, including with Department of Labor and the Department of Health and Human Services.

ACL is interested in the current state of knowledge, gaps that might exist, and recommendations to address knowledge gaps. This may include the analysis and synthesis of research findings, state workforce policies, replicable state service system initiatives, agency-based and self-directed models, independent contractor and co-op strategies including labor-management partnerships, codes of ethics, training and credentialing programs, and effective organizational infrastructure models to support workers. Additionally, ACL and its stakeholders are interested in strategies to support and expand the direct care workforce through models of collaboration across agencies, apprenticeships, culturally responsive management, practices to that build positive work cultures, knowledge transfer of positive behavior, augmentative/alternative communication and other technologies to support DCWs and enable individuals to maximize their independence.

Information Dissemination and Technical Assistance
Information dissemination, direct technical assistance, and capacity building support to the

HCBS system will be a central component of this five-year initiative. Technical assistance is needed regarding strategies to ensure a robust and sustainable workforce. These strategies may include (but are not limited to): strengthening financing and rate and payment practices that produce livable employee wages commensurate with labor demand, improved access to employment-related training and supports, and enhanced planning, collaboration and leveraging the full range of available workforce funding.

ACL believes the primary focus of technical assistance efforts should address the three key principles necessary for ensuring an adequate DCW: recruitment, training, and retention. Proposed technical assistance should span a wide variety of approaches with respect to their design, delivery, and evaluation, such as:

- Learning collaboratives
- E-learning programs, discussion platforms and other self-directed learning programs
- Webinars, online/web-based materials
- Training materials and curriculum

Website

A DCW website will be the central structure for curating and disseminating information. ACL will develop and make available the necessary pages on the ACL.gov website for all materials, products, and other information related to the project. In this regard, a new dedicated page on the ACL website will be the primary web presence for this project. ACL requires that information and materials provided by the grantee and partners for dissemination, regardless of method, will be fully accessible (i.e., 508-compliant), and meet the cultural and linguistic needs of the intended audience.

When fully operational, ACL envisions the technical assistance center will become a central hub for state, private, and federal entities engaged in the delivery of services, DCWs, older adults, people with disabilities, and families to access a curated array of model policies, best practices, training materials, technical assistance and learning collaboratives. With the ACL.gov web page as the primary vehicle for presenting and organizing public-facing information, ACL anticipates that the successful grantee will develop and employ a robust and far-reaching dissemination strategy designed to ensure that project information, existing federal resources, best practices, and other information are available and shared broadly. Applicants should describe their dissemination plans and articulate the methods (e.g., electronic/web-based, in-person, print, etc.) by which such activities will occur.

Support for Cross-System Collaborations to Address DCW Crisis

ACL believes that meaningfully addressing the DCW crisis will require direct support for collaboration across the multiple systems that interface to create and sustain this workforce. Applicants should propose approaches that promote collaborations to develop and maintain comprehensive state strategies for workforce development that will increase wages, recruitment, training, retention, and advancement through the development of career ladders, modifications to compensation strategies and the use of data to drive change.

To support such cross-system collaboration and systems change, ACL recommends that applicants consider awarding subgrants/subcontracts to test approaches to facilitate partnership development among state aging and disability agencies, state departments of labor or state workforce agencies, apprenticeship sponsors or agencies, economic development agencies, and others. If the applicant intends to employ subgrants/subcontracts, applicants should fully describe

how they plan to use them, the rationale and selection criteria, and how they plan to monitor subgrantee/subcontractor progress and ensure successful completion of all tasks.

IMPORTANT: The successful grantee, including any sub-grantees, will not be permitted to use project funds for construction and/or rehabilitation of buildings; basic research; medical care; income maintenance; or equipment purchases, unless such equipment is demonstrated to be necessary to carry out an activity otherwise fundable under Title IV of the Older Americans Act, the Rehabilitation Act, and the Developmental Disabilities Act.

Further, the successful grantee shall adhere to all requirements, including those for making and monitoring sub-awards, as outlined in 45 CFR Part 75. As with other demonstration programs that seek to test innovations or build capacity, the activities conducted in this priority area should closely align with those undertaken in response to the previous priority areas, as applicable. Applicants should describe their approaches for ensuring that activities undertaken by sub-grantees will help strengthen the DCW.

Partnerships and Stakeholder Collaboration

ACL expects that no single organization will be able to completely fulfill the priority areas addressed in this project. Therefore, applicants should describe how they plan to partner with other organizations, including those representing the needs of traditionally unserved and underserved, including those from racially and ethnically diverse populations, with intersectional identities.

While the applicant organization must be the fiscal and programmatic lead, applicants should clearly define their key partners' roles throughout the application materials (e.g., work plan, budget, project narrative). Applicants should include letters of commitment from initial partners in this application. Applicants should also describe how they will engage with external stakeholders such as those on the non-exhaustive list below:

- People with disabilities and older adults
- People who are or aspire to be DCWs
- National agencies representing state aging and disability organizations, state workforce development entities and/or Medicaid program directors
- Organizations representing direct care workforce and HCBS providers
- Organizations that have piloted worker co-ops or labor-management partnerships
- Aging and disability-led organizations, including those that provide training, technical assistance, and peer to peer support
- Other national organizations representing individuals with disabilities, families, and advocates, including those focused on health equity
- ACL-funded aging and disability network organizations and other grantees
- Key researchers and subject matter experts

Advisory Committee

A project advisory committee can be an ideal vehicle for informing the work of the project and ensuring broad stakeholder engagement in all aspects of the initiative. Applicants for this opportunity should explain how they will use an advisory committee to assist their efforts. The application should describe how an advisory committee will be diverse in experience and background and with regard to race, religion, age, ethnicity, disability, gender, gender identity,

sexual orientation, location, and lived experience. An advisory group can provide opportunities to access knowledge and skills through smaller groups focused on specific topics or areas of exploration. Applicants may wish to consider the following when proposing advisory committee members:

- People with disabilities, older adults, and their family caregivers who have experienced or need services
- Direct care workers and other personnel such as supervisors, trainers, and job recruiters
- Provider agencies/employers, managed care organizations
- Worker co-ops and organizations with labor-management partnerships
- Subject matter experts in workforce development and management practices including workforce professionals at the local level
- Leaders from federal and state agencies with experience in designing and operating HCBS systems, developing the workforce and determining methods to increase pay for DCW
- Other organizations (research, training, advocacy, universities) whose purpose is the promotion and development of a stable and reliable workforce

As this is a cooperative agreement, ACL will work with the grantee and their partners to finalize the advisory committee to ensure broad representation of interested groups and stakeholders. The grantee is permitted to provide stipends to steering committee members and other SMEs, as necessary, to appropriately reimburse for their time and expertise on work directly related to this project.

Advancements in Direct Care Workforce Data Collection and Measurement
Federal and state data collection systems remain inadequate in tracking and measuring key workforce dimensions such as size, stability, credentials, and compensation. This data, along with measures to evaluate the experience of both DCW and older adults and people with disabilities, are critical for policymakers, industry leaders, and other HCBS stakeholders to make sound decisions that would improve the DCW and ultimately the lives of older adults and people with disabilities. These metrics are also needed to conduct research, establish policy, and improve practice[12].

ACL seeks to begin addressing the inadequacies in measuring key workforce dimensions as part of this initiative. Applicants should propose approaches for supporting the improvement of DCW data collection activities and how that data will be used. Applicants should consider the need for minimum data sets as it relates to DCW quality measures and other factors that are key to advancing the provision of HCBS, consumer experiences, and workforce reliability and sustainability.

[12] PHI. Federal Policy Priorities for the Direct Care Workforce. (2021). Retrieved from
http://www.phinational.org/resource/federal-policy-priorities-for-the-direct-care-workforce/

Project Evaluation
A project of this scope and reach is expected to achieve measurable results and lasting impact.

Therefore, applicants should propose a robust third-party, evaluation of their efforts resulting in a final report at the end of the project. Applicants should anticipate substantial involvement by the ACL Program Officer, with input from the ACL Office of Performance and Evaluation in the design of the evaluation, per the terms of the Cooperative Agreement. In this regard, applicants should focus on developing a broad evaluation framework, with the understanding that it will be finalized post award and with input from ACL.

Project Sustainability
ACL expects to realize tangible, measurable and sustainable outcomes from the grantee and its partners. Additionally, ACL expects all products and materials to remain widely available and indefinitely, once federal funding ends. Applicants will be scored, in part, on the extent to which a plan for the project's sustainability beyond the period of federal funding is articulated and appears feasible and likely.

Additional and Optional Activities as Identified
Through this NOFO and the resources being made available to support this initiative, ACL has outlined key activities and areas of focus it deems necessary to address. Applicants are encouraged to propose additional complementary activities and undertake other training and technical assistance activities to address the desired outcomes listed in Subsection C.

Statutory Authority
Assistance and Bill of Rights Act of 2000 (DD Act of 2000), Section 161(2) (D) (v) (42U.S.C. 15081), Section 21 of the Rehabilitation Act of 1973, and Title IV, Sec. 411(13), of the Older Americans Act of 1965, as amended.

II. Award Information

Funding Instrument Type:
CA (Cooperative Agreement)
Estimated Total Funding:
$1,300,000
Expected Number of Awards:
1
Award Ceiling:
$1,300,000
Per Budget Period

Award Floor:
$1,200,000

Per Budget Period

Length of Project Period:
60-month project period with five 12-month budget periods

Additional Information on Project Periods and Explanation of 'Other'
This funding opportunity will be administered as a Cooperative Agreement.   As such, the successful applicant should expect substantial ACL involvement in grant activities as appropriate or requested, including reviewing products for compliance with federal grant rules and participating in planning and training activities, which will be determined by the needs and priorities of the grantee and ACL. The terms and conditions for this cooperative agreement are as follows and will be incorporated by reference in the Notice of Award (NOA).
The ACL will carry out the following activities for the cooperative agreement:

- Perform the day-to-day Federal responsibilities of grants management while working with the grantee to ensure that the minimum requirements for the grant are met.
- Assist the grantee project leadership in understanding the policy concerns and/or priorities of ACL by conducting periodic briefings and by carrying out ongoing consultations.
- Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the project.
- Within 30 days post-award, meet with the grantee to finalize the workplan to the mutual agreement of all parties to this cooperative agreement
- Provide guidance to the grantee, as necessary, in making sub-awards (i.e., sub-grants/contracts) as permitted in this funding opportunity announcement.
- Provide guidance to the grantee on the provision of technical support and associated tasks related to the fulfillment of the goals and objectives of this grant.
- Establish and maintain the primary webpage for this project on the ACL.gov website.
- Review and provide technical advice to the grantee on all work products and other project deliverables and processes.
- Provide consultation to the grantee in identifying emerging issues as they relate to the goals and objectives of this grant program.
- Work with the grantee on the development and implementation of evaluation and quality assurance systems to ensure that performance is measured, and continuous improvement occurs.
- Attend and participate in major project events as appropriate.

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

- Immediately inform and collaborate with ACL on any in-scope modification of the work plan.
- Within 30 days post award, meet with ACL to finalize the project work plan to the mutual satisfaction of all parties to this agreement.
- Participate in monthly check-in calls with the ACL Program Officer.
- Provide drafts of all press releases, social media announcements and similar materials for approval prior to posting or release.

- Provide preliminary and other working drafts of all products and deliverables to the ACL Program Officer for review.
- Prior to dissemination, provide final accessible and 508-compliant drafts of all products and deliverables to the ACL Program Officer for final review.
- Use the ACL-established web site/web page for this project as the primary location for all web-based materials associated with this project.
- Collaborate with ACL on the identification and selection of advisory committee members and any subject matter experts/advisory consultants to the project.
- Evaluate the impact of overall project activities and ensure quality assurance systems are in place.
- Share information with ACL, national and local organizations, and other entities as appropriate.
- Fulfill all requirements of the grant initiative as detailed in this program announcement.
- Report semi-annually on project accomplishments, challenges, and progress towards measurable objectives.
- Work with the ACL Program Officer to evaluate performance results reported semiannually and jointly develop strategies to address those areas requiring improvement.

ACL will assist the grantee in understanding the strategic goals and objectives, policy perspectives, and priorities of the ACL Administrator/Assistant Secretary for Aging and the Department of Health and Human Services, by sharing such information via email, conference calls, briefings, memos, and other consultations. The ACL Program Officer will provide technical assistance and guidance on issues related to grant management and implementation, including the execution of the cooperative agreement. The program officer will also share information with the grantee about other federally sponsored projects and activities relevant to activities funded under this announcement.

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

III. Eligibility Information
1. Eligible Applicants

For FY 2022 the below guidance is provided to advance the Administration's policy, as stated in E.O. 13985, to "pursue a comprehensive approach to advancing equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality." This guidance is intended to begin to address inequities in HHS programs, processes, and policies that may serve as barriers to equal opportunity. By

advancing equity in our NOFOs, we can "create opportunities for the improvement of communities that have been historically underserved, which benefits everyone."

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education. Priority will be given to national public, national private non-profit agencies, national organizations including national faith and community-based organizations (FBOs and CBOs), and national Indian tribal organizations.

For the purposes of this competition, national organizations are defined as those entities established with headquarters and administration for an organized group of bodies (local chapters, affiliates, faith and community-based and tribal organizations) dedicated to improving the DCW for a major, nationwide segment of the older adult and persons with disabilities population.

Applicants must demonstrate that they have demonstrated experience and a proven track record in promoting improvements in the DCW with respect to the needs of people with disabilities and older adults as well as demonstrated experience in partnering with key national stakeholder groups that are involved in the DCW for these target populations. Only one application per agency/organization will be accepted.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement:
No

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.**

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3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications that fail to meet each of the responsiveness criteria described below will not be reviewed and will receive no further consideration:

- Documented history of working at the national level;
- Included a Memorandum of Understanding (MOU) from one of the following: Minority entities and Indian tribes to carry out activities under the programs authorized under titles II, III, VI, and VII of the Rehabilitation Act of 1973 as amended, minority entities and Indian tribes to conduct research, training, technical assistance, or a related activity, to improve services provided under the Rehabilitation Act of 1973 as amended, especially services provided to individuals from minority backgrounds; and
- The commitment of (at least) a full-time project director with recognized expertise in the field of DCW and associated issues.

Application Screening Criteria

The successful applicant will be an organization that meets the criteria listed below. Applicants must conform to the following elements:

- Applicants must meet the criteria for national organizations as defined above.
- Applicants must have demonstrated experience in addressing the issues associated with the direct care workforce as outlined in this NOFO, while responding to the needs of people with disabilities and older adults.

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 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 UEI 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 UEI number in each application or plan to submit to the OPDIV.

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

- The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. By April of 2022, the federal government will stop using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. It is entered on the SF-424. It is a unique, nine-digit identification number, which provides unique identifiers of single business entities.
- 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 acknowledgment 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.

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

Caroline Ryan
Email: dcw@acl.hhs.gov

2. Content and Form of Application Submission
Letter of Intent

Due Date for Letter Of Intent 05/31/2022

Date will be generated on synopsis publication

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:

U.S. Department of Health and Human Services
Administration for Community Living
Caroline Ryan
Email: dcw@acl.hhs.gov

Project Narrative

The Project Narrative must be **double-spaced**, on **8.5" x 11"** paper with **1" margins** on **all** sides, and a standard **font** size of no less than **11 point**, preferably **Calibri 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 40 pages; 40 pages is the maximum length allowed. Project Narratives that exceed 40 pages will have the additional pages removed and only the first 40 pages of the Project Narrative will be provided to the merit reviewers for funding consideration. The Project Work Plan, Letters of Commitment, Organizational Charts, and Résumés/Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 40-page limit, but all the other sections noted below are included in the limit.

- o Project Narrative Inclusive List:
  - Summary/Abstract
  - Problem Statement
  - Goal(s) and Objective(s)
  - Proposed Intervention
  - Special Target Populations
  - Outcomes

- Project Management
- Evaluation
- Dissemination
- Organizational Capability

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. Detailed instructions for completing the summary/abstract are included in the "Instructions for Completing the Project Summary/Abstract."

Problem Statement

This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect older adults and /or people with disabilities, their families and caregivers and the health care and social services systems.

Goal(s) and Objective(s)

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

Proposed Intervention

This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in the "Problem Statement". You should also describe the rationale for using the particular intervention, including factors such as: "lessons learned" for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the "right conditions" for the intervention (e.g., existing social 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.

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. Applicants should pursue a comprehensive approach to advancing equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality

Outcomes

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

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

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

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

Project Management

This section should include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project's objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress, (i.e., measure of performance towards the goals stated in the funding opportunity announcement and for your specific intervention/activities) 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 specific outcomes (e.g., changes in clients, organizations, and/or communities) expected as a result of this funding as well as method(s), techniques and tools that will be used 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.

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.

Organization 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. It should also include the organization's capability to sustain some or all project activities after federal financial assistance has ended.

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

Budget Narrative/Justification

For the Budget Narrative/Justification, you may use the "Budget Narrative/Justification – Sample Format" found in the Appendix section at the end of this funding announcement. Applicants are encouraged to pay particular attention to this format, which provides an example of the level of detail ACL is looking for. ACL requires that you submit a combined multi-year Budget Narrative/Justification covering the life of the grant as well as a detailed Budget Narrative/Justification for each year of potential grant funding.

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Project Work Plan

Your Project Work Plan should reflect and be consistent with the Project Narrative and Budget Narrative/Justification. In your Project Work Plan, include a statement of the project's overall goal, the anticipated outcome(s), the key objectives, and the major tasks / action steps that you will undertake to achieve the goal and outcome(s). For each major task / action step in the Project Work Plan, identify timeframes involved (including start- and end-dates) and the lead person responsible. You may use the "Project Work Plan - Sample Template" format found in the Appendix section at the end of this funding announcement as a reference and resource.

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Letters of Commitment from Key Participating Organizations and Agencies

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

3. Unique Entity Identifier and System for Award Management (SAM)

The 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 UEI number 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 UEI number in each application or plan to submit to the OPDIV.

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

- The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. By April of 2022, the federal government will stop using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. They will no longer have to go to a third-party website to obtain their identifier. This transition allows the government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government. If your entity is registered in SAM.gov today, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records. To learn how to view your Unique Entity ID (SAM) go to this help [article].
- 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 acknowledgment 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.

4. Submission Dates and Times

Due Date for Applications 07/13/2022

07/13/2022
Date for Informational Conference Call:
05/17/2022
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.

NOTE: **To access the informational call on May 17, 2022 at 3:00pm eastern standard time, please dial 888-942-9712 and enter passcode: 5313288 when prompted.**

5. Intergovernmental Review

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

6. 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.

7. Other Submission Requirements

V. Application Review Information

1. Criteria

Applications are scored by assigning a maximum of 100 points across five standard categories used for all ACL grant programs. Applicants should be sure the content of their applications address each of the questions in the sub-categories listed below:

Project Relevance & Current Need - (10 points)

Approach - (40 points)

Budget – (15 points)

Project Impact - (10 points)

Organizational Capacity - (25 points)

PROJECT RELEVANCE & CURRENT NEED   **Maximum Points:** 10

1. Does the applicant demonstrate sufficient understanding of federal policy related to supporting older adults and people with disabilities in the community?
2. Does the application demonstrate sufficient knowledge of current DCW challenges and how they impact older adults and people with disabilities?
3. Does the applicant demonstrate sufficient knowledge and understanding of state and federal programs and services systems for older adults and people with disabilities and how the DCW challenges affect service delivery?
4. Does the applicant demonstrate sufficient understanding of federal and state workforce development programs?

APPROACH   **Maximum Points:** 40

Goals and Objectives

1. Does the applicant address the Notice of Funding Opportunity's (NOFO) stated priority areas?
2. Are proposed goals and objectives in line with the desired outcomes sought by ACL?
3. Does the project consider barriers to achieving the project's goals and objectives and how those barriers can be addressed?

Work Plan/Management Plan

1. Has the applicant included a work plan for each year of the project?
2. Is the project's work plan clear, comprehensive, and inclusive of all five years of project activity?
3. Does the work plan include feasible timeframes for the accomplishment of tasks presented?
4. Do the proposed work plan activities link directly to stated goals and objectives?
5. Are the roles and responsibilities of project staff and other key partners clearly defined and linked to specific objectives and tasks?

Methods of Addressing the Problem

1. Are the activities proposed in response to the "Key Features" of the project sought by ACL appropriately aligned?
2. Does the application present a sound approach for gathering and identifying existing knowledge and resources in the field of DCW support and development?
3. Are the proposed methods of technical assistance adequately multi-modal in nature and responsive to the needs of all entities with a role in securing a stable and reliable workforce?
4. Does the proposed technical assistance address the full scope of recruitment, training, and retention workforce strategies?
5. Does the applicant propose activities that will maximize cross-systems approaches by working directly with state systems, workforce agencies, service providers, and other sectors directly responsible for ensuring the adequacy of the DCW?

6. Does the applicant propose sound approaches for supporting the improvement of DCW data collection activities?
7. Are the activities described for improving DCW data collection activities likely to result in proposed approaches for DCW data collection and use of data to the measure the stability and reliability of the workforce?
8. If sub-grants are proposed, does the applicant present a sound and workable approach for making subawards and monitoring all efforts of sub-grantees?

Collaboration and Partnerships

1. Do the key project partners have sufficient knowledge of current DCW challenges and how they relate to the aging and disability populations to contribute to the success of the project?
2. Will the project's advisory committee have adequate knowledge and experience to strengthen the grantee's capacity to carry out the tasks as proposed?
3. Does the applicant propose to meaningfully include the appropriate federal agency and program partners in this project?
4. Do the letters of commitment demonstrate willingness and capacity of the organizations to participate and contribute in a meaningful way?

Project Sustainability

1. Is the proposed plan for project sustainability likely to result in securing the necessary resources to continue some or all activities after federal financial assistance has ended?
2. Is there a plan and proposed approach for embedding efforts in target networks to ensure long-term sustainability of project efforts?

Disssemination

1. Does the dissemination plan demonstrate a commitment to close collaboration with ACL and other federal partners on the delivery of products and resources to designated audiences?
2. Does the dissemination plan include multiple modalities for delivering information and other resources, including electronic, print and web-based methods?

Budget   **Maximum Points:** 15
1. Is a budget and budget narrative covering all five years of the project as well as individual budget years included with the application? **(NOTE**: if "No," score this section as "zero")
2. Are the resources requested in each budget category justifiable and consistent with the scope of proposed project activities?
3. Does the applicant's proposed allocation of available resources across the priority areas seem reasonable and responsive to the intent of the funding opportunity?

4. Does the budget, as proposed, reflect an efficient use of available resources?

Project Impact   **Maximum Points:** 10

Project Outcomes

1. Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project as stated in the NOFO?
2. Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome as contained in the NOFO?

Project Evaluation

1. Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether the project has achieved its proposed outcome(s)?
2. Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes?

Organization Capacity   **Maximum Points:** 25

Documented National-level Capacities

1. Does the applicant demonstrate knowledge and expertise in working at the national level on the issues to be addressed by this NOFO?
2. Does the applicant propose to include the appropriate and relevant mix of key partners throughout the life of the project?
3. Does the applicant demonstrate expertise, established history/relationships in working collaboratively with the target audiences of this initiative?

Project Staffing and Qualification

1. Are the proposed management and staffing patterns clearly and evidently connected to the project's design and proposed plan for implementation?
2. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles?
3. Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management, and timely completion of the project?

Project Management

1. Does the applicant demonstrate the capacity to provide TA on the desired range of topics on a national scale to the target audiences?
2. Does the applicant demonstrate the commitment to lead the project?
3. Does the application adequately describe the applicant's ability and plan to partner with other entities as necessary to achieve the goals of the project?
4. Does the applicant demonstrate the capacity to successfully manage the requirements of a Federal grant and any subsequent sub-awards/grants?

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).

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.

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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: 09/01/2022

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.

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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. For additional information, please visit the website.

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:
Caroline
Last Name:
Ryan
Phone:

(202) 795-7429

Office:

Office for Interagency and Innovation

Grants Management Specialist

First Name:

Carla

Last Name:

Kirksey

Phone:

(202) 795-7303

Office:

Office of Grants Management

VIII. Other Information

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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/ocr/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-harassment.
- 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 UEI (REQUIRED): If your entity is registered in SAM.gov today, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records.

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. For ACL programs that have a cost-matching requirement (list here), 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.)

 Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this ACL program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which

guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a multi-year budget.

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	**Federal** Project Director (name) = .5 FTE @ $95,401/yr = $47,700 **Non-Fed Cash** Officer Manager (name) = .5FTE @ $47,108/yr = $23,554 **Total** 71,254
	$17,482	$8,632	$0	$26,114	**Federal**

Fringe Benefits					Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)
Travel	$4,707	$2,940	$0	$7,647	**Federal** Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles $2,457 Lodging: 15 days @ $110/day $1,650 Per Diem: 15 days @ $40/day $600 Total $4,707 **Non-Fed Cash** Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ $500 $1,500 Lodging: 3 days x 3 staff @ $120/day $1,080 Per Diem: 3 days x 3 staff @ $40/day $360

				Total $2,940
Equipment	$10,000	$0	$0	$10,000	No Equipment requested OR: Call Center Equipment Installation = $5,000 Phones = $5,000 Total $10,000
Supplies	$3,700	$5,670	$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 *If contract details are unknown due to contract yet to be made provide same information listed above and:* A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other	$5,600	$0	$5,880	$11,480	**Federal** 2 consultants @ $100/hr for 24.5 hours each = $4,900 Printing 10,000 Brochures @ $.05 = $500 Local conference registration fee (name conference) = $200 Total $5,600 **In-Kind** **Volunteers** 15 volunteers @ $8/hr for 49 hours = $5,880
Indirect Charges	$20,934	$0	$0	$20,934	21.5% of salaries and fringe = $20,934 IDC rate is attached.
TOTAL	$140,294	$40,866	$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 note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

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.

Instructions for Completing the "Supplemental Information for the SF-424" Form

1. Project Director.

Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application. Items marked with an asterisk (*) are mandatory.

2. Novice Applicant. Select "Not Applicable To This Program."

3a. Human Subjects Research. Check **No** if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable. Check **Yes** if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check **Yes** even if the research is exempt from the regulations for the protection of human subjects.

3b. Human Subjects Research. **Yes** if all the research activities proposed are designated to be exempt from the regulations. Check the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. Exemptions. In addition, follow the instructions in II. A. Exempt Research Narrative below.

Check **No** if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. Nonexempt Research Narrative in the attached page entitled Definitions for U.S. Department of Education Supplemental Information for the SF-424.

3b. Human Subjects Assurance Number. If the applicant has an approved Federal Wide Assurance (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. (A list of current FWAs is available at: http://ohrp.cit.nih.gov/search/search.aspx?styp=bsc) If the applicant does not have an approved assurance on file with OHRP, enter None. In this case, the applicant, by signature on the SF-424, is declaring that it will proceed to obtain the human subjects assurance upon request by the designated NIDILRR official. If the application is recommended/selected for funding, the designated NIDILRR official will request that the applicant obtain the assurance within 30 days after the specific formal request.

3c. Human Subjects Narratives. If applicable, please attach your Exempt Research or Nonexempt Research narrative to your submission of the Supplemental Information for the SF-424 form as instructed in item II, Instructions for Exempt and Nonexempt Human Subjects Research Narratives," below.

Note about Institutional Review Board Approval. NIDILRR does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated NIDILRR official will request that the applicant obtain and send the certification to NIDILRR within 30 days after the formal request. **No covered human subjects research can be conducted until the study has NIDILRR clearance for protection of human subjects in research.**

I. Definitions and Exemptions

A. Definitions.

Research

a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

Human Subject

"a living individual about whom an investigator (whether professional or student) conducting research information. (1) If an activity involves obtaining information about a living person by manipulating that person or that persons environment, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be directly or indirectly linked to that individual), the definition of human subject is met.

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of exemptions are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods. *If an educational practice is being introduced to the site and is not widely used <u>for similar populations</u>, it is not covered by this exemption.*

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving* educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. [***This exemption applies only to retrospective studies using data collected before the initiation of*** the research.]

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs. ***[The standards of this exemption are rarely met because it was*** designed to apply only to specific research conducted by the Social Security Administration and some Federal welfare benefits programs.]

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked Yes for Item 3.b. of the Supplemental Information for the SF 424, the applicant must attach a human subjects exempt research or nonexempt research narrative to the Supplemental Information for the SF-424 form. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked Yes for item 3.b. and designated exemption numbers(s), attach the exempt research narrative to the Supplemental Information for the SF-424. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by NIDILRR that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked No for item 3.b. you must attach the nonexempt research narrative to the Supplemental Information for the SF-424. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics**: Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons

with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials**: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent**: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks**: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk**: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained**: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site**(s): If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.