Administration for Community Living

Administration on Aging

ACL Innovation Lab
HHS-2023-ACL-AOA-ACIL-0061
07/05/2023

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ACL Center:
Administration on Aging
Funding Opportunity Title:
ACL Innovation Lab
Funding Opportunity Number:
HHS-2023-ACL-AOA-ACIL-0061
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Due Date for Letter of Intent:
Date will be generated on synopsis publication
Due Date for Applications:
07/05/2023
Date for Informational Conference Call:
05/15/2023
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

Through this funding opportunity, the U.S. Administration for Community Living (ACL) plans to award a cooperative agreement to a single entity to serve as ACL's Innovation Lab (the Lab) to conduct research, demonstrations, and evaluations pertaining to falls prevention amongst older adults and older adults with disabilities. The successful recipient must demonstrate their capacity to work collaboratively with relevant stakeholders to conduct several activities including but not limited to:

- Develop a taxonomy for falls prevention research through an in-depth review of falls prevention literature that allows for a structured approach to data collection;
- Based on that taxonomy, collaborate with ACL to develop relevant research questions and methods for conducting research using core components; community-

driven/community-based participatory research on falls prevention and falls risk factors; and structured (quantitative) data and unstructured (qualitative) data collection for sub-awardees;

- Develop a secure, dynamic system to house the data collected and evidence developed by sub-awardees, complying with ACL's public access plan and policy in regards to scientific or research data collected as a result of this funding;
- Fund a cohort of sub-awardees that comprise community-based aging and disability-focused entities to pilot these approaches in order to understand and measure the extent to which existing interventions reduce falls and falls risk factors for falls;
- Provide technical assistance (TA) to sub-awardees on core components, participatory research designs to measure outcomes, and structured data collection using a relational database;
- Conduct both predictive and statistical analysis on research findings, and disseminate findings; and
- Promote, in partnership with ACL, the scaling and sustainability of effective practices that promote health and reduce injury specific to falls prevention and falls risk factors for older adults and older adults with disabilities.

The first year of the cooperative agreement will be used to develop the taxonomy and the system for structured data collection, criteria for the sub-awardee application process, framework for providing technical assistance, and identification of relevant partnerships. The Innovation Lab will ensure coordination and engagement with other relevant national partners such as the National Council on Aging's National Falls Prevention Resource Center; ADvancing States, USAging, Independent Living Research Utilization (ILRU), the Older Americans Act (OAA) Title VI Resource Centers, or other Tribal organizations such as the National Indian Health Board, or other relevant organizations.

The applicant must have the capacity and expertise to work with multiple types of partners to facilitate collaboration and research with the Aging Network. The Older Americans Act of 1965 (OAA) established a national network of federal, state, and local agencies to plan and provide services that help older adults to live independently in their homes and communities. This interconnected structure of agencies is known as the Aging Network. The National Aging Network is headed by the Administration on Aging at ACL, which sits within the Department of Health and Human Services. The network includes 56 State Agencies on Aging, approximately 615 Area Agencies on Aging, and more than 280 Title VI Native American aging programs. Further, the network is supported by tens of thousands of service providers, community-based organizations, and hundreds of thousands of volunteers. For the purpose of this funding opportunity and consistent with the definition in the Older Americans Act (42 U.S.C. §3002(8)), we are defining an older adult as an individual who is 60 years of age or older. For tribes and tribal organizations, the age of older Indians is defined by the tribe and may vary.

Applicants must have and demonstrate the ability to rapidly deploy and manage competitive sub-awards directly to community-based aging and disability organizations. The Lab will provide support and technical assistance for participating organizations by leading a Learning Community to bring together sub-awardees to take part in shared learning, information and resource sharing. The Lab will also provide coordinated technical assistance around core components, structured data collection efforts, and community-based participatory research on falls prevention and falls risk factors.

Applicants must request a total budget of $4.79 million for the three-year project period. The successful applicant shall be permitted to retain up to 40% for administrative and technical assistance costs. The remainder will be allocated to sub-awards for year 2. Administrative costs should include the development of the taxonomy, the system for collecting structured data, and in-direct costs. The budget and budget narrative should clearly delineate how funds intended for administrative costs and technical assistance purposes will be allocated. The organization selected will be fully-funded for a 36-month project period and budget period. Successful applicants must demonstrate the ability to engage in significant oversight of sub-awards and work closely with ACL and applicable partners to facilitate research conducted by the Lab and potential sub-awardees.

Anticipated Lab Annual Budget

- Year 1: Approximately $1.0 million
- Year 2: Approximately $3.29 M (including sub-awards for up to 15 sub-awardees)
- Year 3: Approximately$ 500,000 (no sub-awards anticipated)

The award will be made in the form of a Cooperative Agreement to allow for ***substantial collaboration and involvement*** with ACL throughout the project period. The Cooperative Agreement has an anticipated start date of August 1, 2023.

An informational conference call will be held on May 15, 2023 at 1:00 pm EST. The dial-in information is below:

- Call-in number: 800-369-1885
- Passcode: 9207819

A downloadable recording and transcript will be posted on Grants.gov soon after the call concludes. An Instant Replay of the call will also be available at 800-839-4229.

I. Funding Opportunity Description

A. Statement of Need

Background

Substantial evidence demonstrates that falls can lead to negative impacts on health outcomes, quality of life, independence, and mortality. While much research has been conducted on how to prevent falls, this funding opportunity is meant to focus on participatory and equitable approaches to prevent falls as well as to develop actionable evidence tailored to particular subpopulations to prevent falls and falls risk factors. Once an older adult has fallen, their risk of falling again doubles, and ensuring a person-centered and evidence-based approach to preventing falls is key to keeping older adults independent at home for as long as possible.[i] Roughly 36 million falls happen per year leading to approximately 32,000 deaths.[ii] While there is more than sufficient literature on the burden of falls to the health care delivery system and their impact on quality of life, as well as many evidence-based interventions for falls, gaps in evidence remain. This funding opportunity aims to take a stepwise approach to improving the understanding of how to prevent falls, as well as further developing the evidence base for falls prevention and falls risk factors through a multi-pronged approach using core components, structured data collection efforts, and community-driven and community-based participatory approaches to conducting the research.

<u>Core Components</u>

While there is no one definition of core components, the Forum on Youth Investment defines them this way: core components are about capturing the essence of a program or intervention, the elements without which the program would not be successful. This can include everything from *what* and *how much* is being delivered to *how* it is being delivered, and *who it is being delivered by*. Core components can also be considered parts, features, attributes, or characteristics of a program that a range of research techniques show *influence its success when implemented effectively*. These items may include:

- *Behaviors of those implementing (e.g., how staff interact with older adults)*
- *Features of the relationships or environment in an organization (e.g., ableist culture)*
- *Activities in a program*
- *How a program is delivered (e.g., in-person vs. virtual), or the amount of activity (e.g., dosage)**[iii]***

Core Components represent an innovation and a new phase in thinking about evidence-based policy, which has tended to emphasize finding a set of model programs or interventions that "work." This means looking for models or interventions that were tested with rigorous evaluation methods and found to have benefits for the outcomes of interest. This often leads to identifying pre-packaged models or interventions with multiple elements to them that together produce positive outcomes. These interventions often come with manuals and other resources to support agencies in replicating the intervention exactly as it was designed. Several tiered evidence programs were based on these sorts of model programs and interventions, with more money being allotted to those interventions or programs that had a higher level of demonstrated evidence. However, these strategies also came with some challenges, since the existing evidence was not always conducted with the full diversity of populations, communities, or contexts. Moreover, communities sometimes struggled to implement these model programs exactly as written (what is referred to as implementing with fidelity). In some cases, culturally competent approaches may not have been used, in others there may have been resource issues where the community did not have sufficient resources to implement the intervention exactly as intended, for example, if there was a shortage of trained staff. One could consider these models or interventions akin to a fully decorated cake - consider the difference between ingredients in a cake recipe (core components) and the cake that is produced (model or evidence-based intervention). One can bake infinite different types of cakes, various flavors, frosting, and infinite ways to decorate. But the core components of cake – the ingredients that make it a cake – tend to be common (flour, butter, sugar, eggs). In other words, there are many additions one can add to the mix of core ingredients to make specific varieties of cake, but they are not necessary for most cakes. They are not core to impacting the outcome.

Core components research sprung out of much of the same evidence, as researchers attempted to understand what drove model programs to "work" the way they did in the populations tested. Researchers continue to try to understand what is absolutely necessary to implement to achieve the same impact and what could be modified or dropped for interventions. Both core components research and the more traditional research efforts to look at evidence-based model programs are important for the field. Some communities want and need full packaged interventions to address outcomes of interest. Others may want to know how they can build on what is already in place by ensuring that they have captured all the key elements of effective interventions. Moreover, both approaches are relatively new in the policy world and therefore have limited evidence to date to indicate whether they are truly effective at achieving the ultimate goal: better outcomes for people and communities. For this funding opportunity, we want to understand and demonstrate if we can study the core components of falls prevention interventions and associated risk factors in ways that allow for flexibility, adaptability, and culturally competent approaches for reduced falls and falls risk factors in older adults and adults with disabilities.

One of the driving forces behind the interest in core components is the mixed effects found in efforts that have focused on promoting the use of evidence-based model programs or interventions. The concept of core components is not new, and researchers have been investigating these ideas for decades. But core components is only recently getting more attention in the evidence-based policy arenas. Core components offer a way to address some of the strongest criticisms of the model program approach to evidence-based programming and policy. Because core components are smaller units of activity than a model program or interventions, which are typically packaged groups of activities, they may be easier to incorporate into an implementing organization's existing activities. These organizations can more readily identify which core components they may already have in place, and which they might need to add. They can also see which activities they are undertaking that might not be necessary for achieving outcomes.

With the use of technology and advances in the scientific evidence about which core components work for which populations and under which contexts, we may be able to give communities the power to easily compare the strategies they have in place with the evidence base for their own populations, contexts, and outcomes.

Core components frameworks are especially promising for equity and equitable approaches to addressing the significant concerns from communities about the appropriateness, relevance, and meaningfulness of model programs or interventions for their populations. Communities have raised concerns about the inequities in which models are designated "evidence-based" and which populations have sufficient resources and capacity to implement model programs. Not only can a more robust evidence base around core components make it easier to tailor evidence to key populations and contexts, the approach could also allow communities to know what elements of interventions can be modified, adapted, and even co-designed with communities while still maintaining consistency with the existing evidence of effectiveness. A core components orientation may also hold promise for building evidence in contexts and populations that have been marginalized in research or where the capacity to conduct evaluation with strong causal validity is limited. By expanding the definition of what can be deemed evidence-based using a core components approach, there should be more flexibility for smaller communities and for other populations to both study evidence-base core components and identify core components that better match their needs.

Core components are not without their limitations. The evidence base in most fields is not near where it would need to be to apply evidence of core components with assurance that it will achieve greater results than business as usual; however, we believe falls prevention has a sufficiently mature evidence base with several evidence-based interventions to be ripe for taking a core components approach. Many fields already have meta-analyses that aim to understand the elements of effective intervention practices for achieving key outcomes. However, these meta-analyses are costly and time consuming and as a result they are less common than one might desire and are rarely updated over time. Researchers often provide only limited information about their interventions and their research projects when reporting results, so meta-analyses that aim to understand the effectiveness of elements of interventions often require a good deal of additional investigation. A more recent meta analysis for falls prevention programs was published in 2017,[iv] which should be a starting point for developing a rich taxonomy for falls prevention interventions.

Finally, to truly reach the potential of core components in evidence-based policymaking, there needs to be coordination across fields to develop single systems of organization and categorization. Currently meta-analyses tend to be undertaken by independent teams of researchers, using their own coding frameworks and applying language that is specific to their own field of study and its unique theories and frameworks. But most policy fields do not align cleanly with a single academic research discipline. For instance, information relevant to school improvement policy may come from the field of education, but also from psychology, industrial and organizational science, and adult learning. Given the sufficiently robust evidence base for falls prevention, it should be possible and potentially easier to build predictive models that will inform communities, researchers, program managers, or policymakers about the likely effectiveness of a given set of techniques or components for falls prevention using both a core components and structured data collection approach to fund sub-awardees to conduct research to reduce the risk of falls.

Community-Based Participatory Research

The idea of community-based participatory research (CBPR) has been around for decades. In the late 1990s, the Institute of Medicine recommended CBPR as an approach for public health research and education.[v] More recently, Dr. Karen Hacker defined community-based participatory research as “a collaborative research approach that is designed to ensure and establish structures for participation by communities affected by the issue being studied, representatives of organizations, and researchers in all aspects of the research process to improve health and well-being through taking action, including social change.” [vi] Combining the approaches of core components with community-driven and CBPR approaches is a powerful means for addressing equity as well as ensuring culturally competent means to work with communities on improving the risk of falls for older adults and older adults with disabilities.

Structured and Unstructured Data Collection

Emma Crockett explains the differences between structured and unstructured data as follows, “structured data consists of clearly defined data types with patterns that make them easily searchable, while unstructured data – “everything else”—is composed of data that is usually not as easily searchable, including formats like audio, video, and social media postings.”[vii] Most scientific data and program data are considered to be unstructured data, which means they are collected for a single use and typically not housed in a database that is easily linked or can allow the data to be used for other purposes without powerful analytic and data science tools.

When data are collected in a structured way, the data require less cleaning, transforming, and standardizing and it is easier to use for analysis. Using structured data is essential to accurately identify and track effectiveness of interventions, health disparities, monitor progress, and inform more targeted interventions. For example, using structured data can help to standardize and analyze data on health outcomes related to falls prevention for different population groups. This information can then be used to identify areas where disparities exist and inform policies and interventions aimed at reducing these disparities for older adults and older adults with disabilities. Using structured data can ensure a more efficient process for analysis that can also help to identify trends and patterns in health outcomes, which can inform the development of new programs and policies aimed at addressing health equity, in the case of this funding opportunity for falls prevention. In addition to helping to identify disparities, using structured data can also help to ensure that data is accurate, complete, and consistent. This is critical for making valid and reliable comparisons across different populations and for tracking progress over time.[viii]

Many government agencies, and ACL is no exception, are sometimes not able to use program data as effectively as possible to ensure the most effective and evidence-based approaches to interventions and service delivery. Administrative and program data required by federal programs are often unstructured and at times can be incomplete and have a low capacity for predicting or projecting future outcomes without many years of data. The federal government has and continues to attempt to ensure more use of administrative data to improve outcomes. In 2014, the Obama Administration published OMB Memorandum M-14-06, which outlined why and how the government should use administrative data for statistical and research purposes; however, gaps remain in terms of being able to do this effectively because of the way the government often collects unstructured data.

According to Saul ad Deiglmeier, the world is in a massive period of transformation where there is a growing data divide between the private and public sectors and that divide may be a huge driver in the lack of progress in the public sector. The authors further posit that the social and public sectors lack a sufficient data ecosystem to create, analyze, and use data at the same level as the commercial sector. This funding opportunity aims to pilot a structured, data collection approach for falls prevention research. The awardee will begin with developing the taxonomy for falls prevention interventions. The taxonomy should ensure the use of structured data elements for identified components within those interventions which will create a standardized approach to data collection for falls prevention by sub-awardees of this funding opportunity.

Ultimately, the goal is to transform raw structured data into valuable information about falls prevention interventions and components to help identify what works, for whom, and under what circumstances. As we aim to breach the data divide between the private and public sectors, using structured data approaches to developing and using evidence play an increasingly important role in addressing culturally competent and appropriate interventions for the populations using them, thereby moving towards equitable approaches to improved health for older adults.

B. Coordinating Efforts on Falls Prevention and the Aging Network

Since 2014, ACL has awarded more than $43 million in grants through the Prevention and Public Health Fund for falls prevention programs. These grants have been awarded to domestic public and private nonprofit entities, state agencies, community-based organizations, universities, and tribal organizations. ACL also funds a nonprofit organization to serve as an ACL National Falls

Prevention Resource Center. The purpose of the ACL Falls Prevention program is to bring to scale and sustain evidence-based falls prevention programs that have been proven to reduce falls, fear of falling, and fall related injuries in older adults.

While this funding opportunity will conduct research on falls prevention, the applicant should plan to work closely with the ACL National Falls Prevention Resource Center to understand the current state of evidence-based falls prevention programs currently being delivered in the Aging Network, as well as strategies for collaborating community-based aging and disability service organizations.

Applicants should ensure they build upon, not duplicate, the work the ACL Falls Prevention Program, ACL National Falls Prevention Resource Center, the Centers for Disease Control and Prevention Injury Center's work on falls prevention, and other falls prevention research and evidence building-efforts involving the Aging Network.

C. Program Goals

Part I: Develop a Taxonomy for Falls Prevention Research

Develop a taxonomy for falls prevention research through an in-depth review of falls prevention literature that allows for a structured approach to data collection as referenced above. Based on that taxonomy, the awardee will develop relevant research questions and methods for conducting research interventions using both core components and community-driven/community-based participatory research on falls prevention and falls risk factors. Developing a taxonomy will include a systematic review of the literature and meta-analysis to evaluate the scientific evidence regarding the efficacy of falls prevention programs for older adults and older adults with disabilities living in the United States and to develop and apply a taxonomy of intervention components to identify specific components that increase the efficacy of these interventions in their context. This review and taxonomy should be done as efficiently and cost-effectively as possible using the latest technology. Understanding falls prevention interventions and this taxonomy should address the question of whether a given intervention is effective and also better understand what works, for whom, and under what conditions.[ix]

Part II: Develop or Build Upon an Existing System to House Research from Sub-Awards

Develop a secure, dynamic system to house the data collected and evidence developed by sub-awardees, complying with ACL's Public Access Plan and policy in regards to scientific or research data collected as a result of this funding opportunity. Data from research should be available publicly on this site in order to allow for other researchers and programs to build on the data and evidence once cleaned and de-identified. If the applicant has a system in place to house data collected from the research from sub-awardees and results from the taxonomy aligns with ACL's public access plan and ACL and HHS' secure guidelines, then that system should suffice. Applicants should clearly describe their plans for the development of the database or any existing system if already in place.

Part III: Develop and Implement Sub-awards to Aging Network

A central deliverable in Year Two will be the disbursement of sub-awards to the Aging Network. The applicant will fund a cohort of up to 15 sub-awards to community-based aging and disability-focused entities to conduct research, in collaboration with and the support of the Lab, using core components and community-based participatory approaches in order to understand and measure the extent to which existing interventions reduce falls and falls risk factors for falls.

The successful recipient is expected to use a transparent and open process for soliciting, reviewing, selecting, and making the required sub-awards via grants to the Aging Network. Applicants should describe how such a process will be designed and administered. Additionally, the recipient is responsible for the monitoring and oversight of all sub-awards, and the process to solicit, objectively evaluate, select, and make sub-awards. Applicants should carefully consider and describe the sub-award process. Further, the successful recipient shall adhere to all requirements, including those for making and monitoring sub-awards, as outlined in 45 CFR Part 75.

Guidance on Purpose and Intent of Sub-awards

The sub-award funding opportunity aims to support the Aging Network funded by ACL to conduct research using a structured data collection approach to prevent falls and falls risk factors. ACL envisions funding will be able to support up to 15 awardees each year for up to a two-year timeframe with grants to conduct research as outlined above. ACL will work with the recipient of this funding opportunity to determine the most appropriate number of awards as well as the criteria for awards as outlined in the Cooperative Agreement Terms listed below.

The Lab and sub-awardees will be able to use funds to conduct research to:

- Apply a core components and community-based participatory research design to prevent falls and falls risk factors in older adults;
- Use this as an opportunity to collect structured data for falls prevention aligned with the taxonomy results; and
- Ensure sub-awardees have the technical assistance necessary to apply for and conduct the research aligned with ACL and the Innovation Lab's expectations.

Each sub-awardee will be required to complete an organizational capacity assessment developed in partnership with the Innovation Lab and ACL to identify strengths and technical assistance needs for conducting the required research. The Lab should be prepared to provide TA on how to successfully apply for the sub-awards, particularly for organizations that may not have applied for or received research grants previously.

Part IV: Analysis, Sustainability, and Technical Assistance

The responsibility of the Innovation Lab will be to serve as a national focal point to provide technical assistance to scale and support new and existing research and evidence for falls prevention and falls risk factors, with an emphasis on organizations in ACL's aging and disability networks. The Lab will also provide technical assistance to sub-awardees on core components, participatory research designs to measure outcomes, and structured data collection for the required research conducted. The Lab will also provide technical assistance to potential sub-awardees on capacity to apply for the sub-awards.

As part of the spread and scale of the results of the research, the Lab will, when appropriate, and in partnership with ACL, conduct both predictive and statistical analysis on research findings, and disseminate findings to appropriate audiences. Through these analyses, the Lab will also promote, in partnership with ACL, the scaling and sustainability of effective practices that promote health and reduce injury specific to falls prevention and falls risk factors.

As mentioned above, the recipient of this award will ensure coordination and engagement with other relevant national partners such as USAging, ADvancing States, and the ACL National Falls Prevention Resource Center. The recipient will convene a multi-stakeholder group to advise on and/or develop opportunities for next steps that support the maturation of research using core components and structured data, consistent with all federal and state policies.

The Lab will track technical assistance needs and requests to identify and address common needs and challenges amongst sub-awardees, as well as to identify potential technical assistance topics that may be relevant for sub-awardees, which could include:

- Developing sub-awardees in geographies without existing capacity to implement evidence-based falls prevention research
- Assistance on core components research and structured data collection
- Information technology infrastructure to support structured data collection
- Equitable approaches to conducting research
- Cultural competence in conducting research

Delivery of technical assistance should be interactive and engaging, with an approach that balances content delivery by subject matter experts with an "all teach, all learn" peer-based learning framework (e.g., Project ECHO model). ACL envisions that the Lab will collaborate with experts regarding developing an approach to identify and publicly report the key learnings from sub-awardees, including recommendations for ongoing sustainability of this process. The Lab will also develop and maintain a searchable national listing/map of qualified researchers to help support "matchmaking" across awardees and potential partners.

[i] O'Loughlin J et al. Incidence of and risk factors for falls and injurious falls among the community-dwelling elderly. American journal of epidemiology, 1993, 137:342-54.

[ii] Moreland B, Kakara R, Henry A. Trends in Nonfatal Falls and Fall-Related Injuries Among Adults Aged ≥65 Years — United States, 2012–2018. MMWR Morb Mortal Wkly Rep 2020;69:875–881. DOI: http://dx.doi.org/10.15585/mmwr.mm6927a5

[iii] Ferber, Wiggens, Sileo. Advancing the Use of Core Components of Effective Programs. Forum on Youth Investment, 2019. https://forumfyi.org/knowledge-center/advancing-core-components/

[iv] Tricco et al. Comparisons of Interventions for Preventing Falls in Older Adults: A Systematic Review and Meta Analysis. JAMA. 2017;318(17):1687-1699. doi:10.1001/jama.2017.15006

[v] Stoto MA, Abel C, Dievler A, eds. Healthy communities: new partnerships for the future of public health. Washington (DC): The National Academies Press; 1996.

[vi] Hacker K. Principles of Community-Based Participatory Research. Sage Publications; 2013. DOI:https://doi.org/10.4135/9781452244181

[vii] Crockett, E. Structured and Unstructured Data: Key Differences Explained. Accessed at: https://www.datamation.com/big-data/structured-vs-unstructured-data/.

[viii]IBM. Structured versus Unstructured Data: What's the Difference? Accessed at: https://www.ibm.com/cloud/blog/structured-vs-unstructured-data.

[ix] Pawson, R., & Tilley, N. (1997). An introduction to scientific realist evaluation. In E. Chelimsky & W. R. Shadish (Eds.), Evaluation for the 21st century: A handbook (pp. 405–418). Sage Publications, Inc. https://doi.org/10.4135/9781483348896.n29

Statutory Authority

Special Programs for the Aging, Title IV, and Title II, Discretionary Projects, Older Americans Act of 1965, Title IV, Public Law 89-73, 79 Stat. 218, as amended; Public Law 97-115, 95 Stat. 1595; Public Law 98-459, 98 Stat. 1767; Public Law 100-175; Public Law 100-628, 42 U.S.C. 3031-3037b; Public Law 102-375; Public Law 106-501.

II. Award Information

Funding Instrument Type:
CA (Cooperative Agreement)

Estimated Total Funding:
$4,790,000

Expected Number of Awards:
1

Award Ceiling:
$4,790,000
Per Budget Period

Award Floor:
$4,790,000
Per Budget Period

Length of Project Period:
Other

Additional Information on Project Periods and Explanation of 'Other'

This will be a 36 month project and budget period.

Cooperative Agreement Terms

This award will be a new cooperative agreement. As a cooperative agreement, ACL will have substantial involvement in the activities of the project. The grantee will receive a Notice of Award which makes the below terms and conditions of the cooperative agreement effective immediately upon award notification and drawdown of funds from the Payment Management System.

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

1. ACL Project Officer will perform the day-to-day Federal responsibilities of managing a grant initiative and will work with the grantee to ensure that the necessary requirements for the grant are met.
2. 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.

3. Within 30 days post-award, work cooperatively with the grantee to clarify programmatic and budgetary issues. If issues are identified, work with the grantee to revise the project work plan, detailing expectations for major activities and products during the grant.
4. Provide technical assistance to the grantee on the provision of technical support and associated tasks related to the fulfillment of the goals and objectives of this grant.
5. Provide consultation to the grantee in identifying emerging issues as they relate to the goals and objectives of this grant program.
6. Work with the grantee on the development and implementation of quality assurance systems to ensure that performance is measured and continuous improvement occurs.
7. Provide guidance and technical assistance to the grantee in making sub-awards (i.e., sub-grants/contracts) as permitted in this funding opportunity.
8. Review and provide technical advice to the grantee on all work products and other project deliverables and processes.
9. Attend and participate in major project events as appropriate.
10. Participate in any multi-stakeholder consortia or groups that provide coordination and/or strategic direction to the Lab.

The **Grantee** will execute the responsibility of the grant as listed below:

1. Fulfill all the requirements of the grant initiative as outlined in this funding opportunity, as well as carry out project activities as reviewed, approved, and awarded.
2. Participate in ACL education and communication activities (including teleconferences and webinars), provided that ACL provides reasonable notice of the subject, date, and time of the teleconference.
3. Comply with all reporting requirements, as outlined in Section VI of this Funding Opportunity and the Notice of Award.
4. Include ACL disclaimer language on all products produced using this grant funding (as noted in the Notice of Award)
5. Engage with ACL and its partners on falls prevention activities, including input into relevant issues pertaining to falls prevention programs.
6. Ensure the collection and housing of required data, sharing data with ACL and the public at no charge upon request; and ensure compliance with ACL's Public Access Plan.
7. Meet with ACL and any partners or sub-contractors within three weeks within Notice of Award to ensure consistent and constant engagement with any partners or sub-contractors as part of the Lab.
8. Ensure collaboration and communication with all partners associated with the Lab and ACL to ensure shared expectations for the work conducted by the Lab and associated partners.
9. Clear any materials created by the Lab with ACL before posting publicly including technical assistance materials, publications, or manuscripts; and
10. Work collaboratively with ACL on developing the application criteria for sub-awards, including Agreement Terms.

III. Eligibility Information

1. Eligible Applicants

For FY 2023 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."

Eligible applicants include 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.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement:
No
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.**

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications that fail to meet the following responsiveness criteria will not be reviewed and will receive no further consideration:

- The applicant must demonstrate sufficient experience in developing taxonomies for population-based programs; evidence of working with structured data for research purposes; and capacity for working with community-based organizations and conducting community-based participatory research.

Application Screening Criteria

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

In order for an application to be reviewed, it must meet the following screening requirements:
1. Applications must be submitted electronically via https://www.grants.gov by 11:59 p.m., Eastern Time, by the due date listed in section IV.3 Submission Dates and Times.
2. The Project Narrative section of the Application must be double-spaced, on 8.5" x 11" plain

white paper with 1” margins on both sides, and a standard font size of no less than 11 point, preferably Times New Roman or Arial.
3. The Project Narrative must not exceed 20 pages. Project Narratives that exceed 20 pages will have the additional pages removed and only the first 20 pages of the Project Narrative will be provided to the merit reviewers for funding consideration. NOTE: The Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit.
4. The total, 36 month budget may not exceed $4.79M.
5. The project period must not exceed 36 months.

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. As of April of 2022, the federal government stopped 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.

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

Shannon Skowronski

Office of Performance and Evaluation

Email: Shannon.skowronski@acl.hhs.gov

2. Content and Form of Application Submission

Letter of Intent

Due Date for Letter Of Intent 05/22/2023

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

Shannon Skowronski

Office of Performance and Evaluation

Email: shannon.skowronski@acl.hhs.gov

Project Narrative

The components of the Project Narrative counted as part of the 20-page limit include:
• Project Abstract
• Project Relevance and Current Need
• Approach
• Outcomes and Evaluation
• Organizational Capacity

To assist reviewers in scoring your application, we suggest that applicants organize their proposals using the headings above.

Summary/Abstract

Project Abstract
• This section should include a brief description of the proposed project, including goal(s), objectives, and outcomes (no more than half a page).

Problem Statement

Project Relevance and Current Need

This section should:

- Describe your knowledge of the current landscape with respect to taking a core components approach to research; developing and creating a taxonomy to further develop evidence for a particular topic such as falls prevention or a related public health program;

demonstrate experience with structured data collection efforts for research; and state of the evidence for falls prevention.

- Demonstrate your understanding of the types of issues that the Aging Network may experience as they develop their capacity to conduct research using the approaches outlined in this funding opportunity, including the types of guidance and resources the field will need to address these issues.

Goals and Objectives

Approach

Project Description

This section should:

- State the project's result-based goals and major objectives.
- Describe the applicant's plan and ability to develop a taxonomy for falls prevention research that is cost effective, efficient, and technologically feasible.
- Describe the applicant's plan to develop and implement a process to transparently compete and issue up to 15 sub-awards within one year of award receipt to support falls prevention research using the approaches outlined in Section C of this funding opportunity.
- Describe the applicant's approach for using core components and community-based participatory research in falls prevention research for sub-awardees.
- Describe the applicant's experience and approach to ensuring a structured data collection for sub-awardees and how the applicant will ensure those data are private and secure.
- Describe the applicant's strategy to engage with appropriate groups that are involved in falls prevention and those that can represent the Aging Network.
- Provide a detailed description of the applicant's plans to develop and implement technical assistance support and resources that support the approaches required in Section C of the funding opportunity. Priority areas of interest (to be finalized throughout the project period) could include:
    - Developing sub-awardees in geographies without existing capacity to implement evidence-based falls prevention research
    - Assistance on core components research and structured data collection
    - Information technology infrastructure to support structured data collection
    - Equitable approaches to conducting research
    - Cultural competence in conducting research.

Special Target Populations/Organizations

- Describe how the applicant will attract and provide support to sub-awardees that may reach diverse consumers and traditionally hard-to-reach populations (as defined by Executive Order On Advancing Racial Equity and Support for Underserved Communities Through the Federal Government).

Proposed Intervention

Outcomes and Evaluation

Outcomes

- This section must clearly identify the outcomes that will result from your comprehensive strategy to implement this project. Any proposed outcomes should address the goals of this funding opportunity, and be quantifiable, measurable, and likely to be achieved during the project period.
- List measurable outcomes in the Work Plan grid under “Measurable Outcomes,” in addition to any discussion included in the narrative.

Evaluation

- This section should describe the 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 interventions if they prove 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 to inform practice, service delivery, program development, and/or policymaking, including and especially those parties who would be interested in replicating the research and methods used as a result of this funding opportunity.
- Applicants should also highlight their willingness to participate in conferences, webinars, and other presentation formats to share project-relevant information with interested parties.

Organizational Capacity

This section should:

- Describe the applicant’s knowledge and expertise in working at the national level on the issues to be addressed by this funding opportunity.
- Describe the applicant’s experience working with aging organizations funded by ACL.
- Describe the applicant’s expertise, established history/relationships in working collaboratively across the targeted audiences (i.e., aging CBOs, communities implementing evidence-based interventions, etc.).
- Describe experience competing, issuing, and monitoring funding to community-based organizations.
- Describe experience providing technical assistance to support core components approaches, community-based participatory research, and evidence-based falls prevention interventions.
- Describe experience with structured data collection for research and development of evidence (resources, pilot projects, etc.) that have resulted from these efforts.
- Describe how this grant will be managed, including the roles and responsibilities of project staff. You should:

  - Provide a description of the qualifications and experience of the key personnel for this proposed project, including for the Project Director. Applicants must include resumes or CVs as an attachment (upload all resumes/CVs as one attachment to your application if possible).
  - Specify who will have day-to-day responsibility for key tasks such as: leadership of project, monitoring the project's on-going progress, preparation of reports, and communications with other partners and ACL.

Letters of Commitment from Key Participating Organizations

This section should:

- Include letters of commitment to the project (should it be funded) from key collaborating organizations and agencies (including national organizations, aging network partners or their representatives, technology or data partners, and falls prevention experts) 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 a key collaborator.
- The quality of the letter content (i.e., specificity with respect to the role of that partner) is more important than the quantity of letters submitted with your application. Signed letters of commitment should be scanned and included as attachments. Letters of commitment must be uploaded as part of the applicant package via Grants.gov – hard copies will not be accepted.

Budget Narrative/Justification

The Budget Narrative and Justification must be consistent with and support the Project Narrative. It must be concrete, specific and provide a justification for the basis of each proposed cost in the budget and how that cost was calculated. Examples to consider when justifying the basis of your estimates can be ongoing activities, market rates, quotations received from vendors or historical records. The proposed costs must be reasonable, allowable, allocable, and necessary for the supported activity.

- Applicants are required to provide a detailed Budget Narrative/Justification. Your budget should be aligned with the proposed activities in your Project Narrative and Work Plan.
- The Budget Narrative/Justification can be provided using the format included in the document, "Budget Narrative/Justification – Sample Format." Applicants are encouraged to pay particular attention to this document, which provides an example of the level of detail sought.
- Applicants must submit the following:
  - Budget Narrative/Justification for Year 1
  - Budget Narrative/Justification for Year 2
  - Budget Narrative/Justification for Year 3
  - Combined budget for Years 1, 2, and 3

Work Plan

Provide a project Work Plan for:

- Year 1

- Year 2
- Year 3

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the "Project Work Plan - Sample Template" format as a reference and resource, if desired.

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. As of April of 2022, the federal government stopped 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 07/05/2023

07/05/2023

Date for Informational Conference Call:
05/15/2023

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.

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

Protection of Human Subjects:

Research activities involving human subjects under these programs are subject to Regulations for the Protection of Human Subjects for both the awardee and any sub-awardees. You do not need an assurance or IRB approval as a condition of applying for this competition. If you marked "Yes" for Item 3 on the Supplemental Information for SF 424, you must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, please indicate which project each set of responses addresses.

1. *Exempt Research Narrative.* If you marked "Yes" for item 3a. and designated exemption number(s), provide the "exempt research" narrative. The narrative must contain sufficient

information about the involvement of human subjects in the proposed research to allow a determination that the designated exemption(s) are appropriate. The narrative must be succinct. In addition, narratives are required for each participating partner if research is being conducted at other sites.

2. *Nonexempt Research Narrative.* If you marked "No" for item 3a., you must provide the "nonexempt research" narrative. Although no specific page limitation applies to this section of the application, be succinct.

Human Subject Requirements for HHS grants:

If your proposed project(s) involves research on human subjects, you must comply with the Department of Health and Human Services (HHS) Regulations (Title 45 Code of Federal Regulations Part 46) regarding the protection of human research subjects, unless that research is exempt as specified in the regulation. All awardees and their performance sites engaged in research involving human subjects must have or obtain: (1) an assurance of compliance with the Regulations, and (2) initial and continuing approval of the research by an appropriately constituted and registered institutional review board. In order to obtain a Federal wide Assurance (FWA) of Protection for Human Subjects, the applicant may complete an on-line application at the Office for Human Research Protections (OHRP) website or write to the OHRP for an application. To obtain a FWA, contact OHRP at: https://www.hhs.gov/ohrp.

Data and Safety Monitoring Requirement:

For all proposed clinical trials through sub-awards, ACL is requiring that applicants address the safety of human subjects participating in such trials or studies. This discussion must be identified in the application as a data and safety monitoring plan (Plan) and specifically address the safety of the participants and the validity and integrity of the data produced by the study. The Plan will be reviewed by ACL staff prior to the award of the grant. Furthermore, a data and safety monitoring board (DSMB) is required for all multi-site clinical trials involving interventions that entail potential risk to participants. The data and safety monitoring plan must include a discussion of the DSMB if warranted by the proposed research activity. The Plan does not count against the page limitations described in this funding opportunity and is not subject to the evaluation and scoring by the peer review panel.

V. Application Review Information

1. Criteria

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

1. Project Abstract (0 Points)
2. Project Relevance and Current Need (10 points)
3. Approach (24 points)
4. Outcomes and Evaluation (15 points)
5. Organizational Capacity (35 points)
6. Budget Narrative/Justification (10 points)
7. Workplan (6 points)

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

Project Abstract **Maximum Points:** 0

Does the abstract include a brief description of the proposed project, including goal(s), objectives, and outcomes (no more than half a page)?

Project Relevance and Current Need **Maximum Points:** 10

Does the applicant:

- Describe their knowledge of the current landscape with respect to taking a core components approach to research; developing and creating a taxonomy to further develop evidence for a particular topic such as falls prevention or a related public health program; demonstrate experience with structured data collection efforts for research; and state of the evidence for falls prevention. ***(5 points)***
- Demonstrate their understanding of the types of issues that the Aging Network may experience as they develop their capacity to conduct research using the approaches outlined in this funding opportunity, including the types of guidance and resources the field will need to address these issues. ***(5 points)***

Approach **Maximum Points:** 24

Project Description (16 points)

Does the applicant:

- State the project's result-based goals and major objectives?
- Describe their plan and ability to develop a taxonomy for falls prevention research that is cost effective, efficient, and technologically feasible?
- Describe their plan to develop and implement a process to transparently compete and issue up to 15 sub-awards within one year of award receipt to support falls prevention research using the approaches outlined in Part C of this funding opportunity?
- Describe their approach to adhering to the approaches of using core components and community-based participatory research in falls prevention research for sub-awardees?
- Describe their experience and approach to ensuring a structured data collection for sub-awardees and how the applicant will ensure those data are private and secure?
- Describe their strategy to engage with appropriate groups that are involved in falls prevention and those that can represent the Aging Network?
- Provide a detailed description of their plans to develop and implement technical assistance support and resources that support the approaches required in Part C of the funding opportunity? Priority areas of interest (to be finalized throughout the project period) include:
    - Developing sub-awardees in geographies without existing capacity to implement evidence-based falls prevention research

- Assistance on core components research and structured data collection
- Information technology infrastructure to support structured data collection
- Equitable approaches to conducting research
- Cultural competence in conducting research

Special Target Populations/Organizations (8 points)

Does the applicant:

- Describe how they will provide support to sub-awardees that may reach diverse consumers and traditionally hard-to-reach populations (as defined by Executive Order On Advancing Racial Equity and Support for Underserved Communities Through the Federal Government).

Outcomes, Evaluation, and Dissemination **Maximum Points:** 15

Outcomes (5 points)

Does the applicant:

- Clearly identify the outcomes that will result from their comprehensive strategy to implement this project? Any proposed outcomes should address the goals of this funding opportunity, and be quantifiable, measurable, and likely to be achieved during the project period.
- List measurable outcomes in the Work Plan grid under "Measurable Outcomes," in addition to any discussion included in the narrative?

Evaluation (5 points)

Does the applicant:

- Describe the 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 interventions if they prove successful?

Dissemination (5 points)

Does the applicant:

- 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 to inform practice, service delivery, program development, and/or policymaking, including and especially those parties who would be interested in replicating the project?
- Highlight their willingness to participate in conferences, webinars, and other presentation formats to share project-relevant information with interested parties?

Organizational Capacity **Maximum Points:** 35

Overall Organizational Capacity (25 points)

Does the applicant:

- Describe their knowledge and expertise in working at the national level on the issues to be addressed by this funding opportunity?
- Describe their experience working with aging organizations funded by ACL?
- Describe their expertise, established history/relationships in working collaboratively across the targeted audiences (i.e., aging CBOs, communities implementing evidence-based interventions, etc.)?
- Describe their experience competing, issuing, and monitoring funding to community-based organizations?
- Describe their experience providing technical assistance to support the core components approaches, community-based participatory research, and evidence-based falls prevention interventions?
- Describe their experience with structured data collection for research and development of evidence (resources, pilot projects, etc.) that have resulted from these efforts?
- Describe the project management, including the roles and responsibilities of project staff. They should:
    - Provide a description of the qualifications and experience of the key personnel for this proposed project, including for the Project Director. Applicants must include resumes or CVs as an attachment (upload all resumes/CVs as one attachment to your application if possible).
    - Specify who will have day-to-day responsibility for key tasks such as: leadership of project, monitoring the project's on-going progress, preparation of reports, and communications with other partners and ACL.

Letters of Commitment from Key Participating Organizations (10 points)

Does the applicant:

- Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies (including national organizations, aging network partners or their representatives, technology or data partners, or falls prevention experts) 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.
    - The quality of the letter content (i.e., specificity with respect to the role of that partner) is more important than the quantity of letters submitted with the application.

Budget Narrative/Justification **Maximum Points:** 10

Does the applicant:

- Provide a detailed Budget Narrative/Justification that is aligned with the proposed activities in the Project Narrative and Work Plan? ***(2 points)***
- Include detailed budgets for each of the following:
    - Budget Narrative/Justification for Year 1 ***(2 points)***
    - Budget Narrative/Justification for Year 2 ***(2 points)***
    - Budget Narrative/Justification for Year 3 ***(2 points)***

- Combined budget for Years 1, 2, and 3 ***(2 points)***

Workplan **Maximum Points:** 6

Does the applicant provide a project Work Plan that is consistent with the Project Narrative and Budget for:

- Year 1 ***(2 points)***
- Year 2 ***(2 points)***
- Year 3 ***(2 points)***

2. Review and Selection Process

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

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

3. Anticipated Announcement Award Date

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

The anticipated project period start date for this announcement is: 09/01/2023

VI. Award Administration Information

1. Award Notices

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

2. Administrative and National Policy Requirements

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

Should you successfully compete for an award, recipients of federal financial assistance (FFA) from HHS will be required to complete an HHS Assurance of Compliance form (HHS 690) in which you agree, as a condition of receiving the grant, to administer your programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, age, sex and disability, and agreeing to comply with federal conscience laws, where applicable. This includes ensuring that entities take meaningful steps to provide meaningful access to persons with limited English proficiency; and ensuring effective communication with persons with disabilities. Where applicable, Title XI and Section 1557 prohibit discrimination on the basis of sexual orientation, and gender identity, The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html and https://www.hhs.gov/civil-rights/for-individuals/nondiscrimination/index.html.

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 $30,000 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:

Shannon

Last Name:

Skowronski

Phone:

202-795-7438

Office:

Office of Performance and Evaluation

Grants Management Specialist

First Name:

Sean

Last Name:

Lewis

Phone:

202-795-7384

Office:

Office of Grants Management

VIII. Other Information

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

Should you successfully compete for an award, recipients of federal financial assistance (FFA) from HHS will be required to complete an HHS Assurance of Compliance form (HHS 690) in which you agree, as a condition of receiving the grant, to administer your programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, age, sex and disability, and agreeing to comply with federal conscience laws, where applicable. This includes ensuring that entities take meaningful steps to provide meaningful access to persons with limited English proficiency; and ensuring effective communication with persons with disabilities. Where applicable, Title XI and Section 1557 prohibit discrimination on the basis of sexual orientation, and gender identity, The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html and https://www.hhs.gov/civil-rights/for-individuals/nondiscrimination/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
Fringe Benefits	$17,482	$8,632	$0	$26,114	**Federal** Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)
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.

3c. **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 ACL official. If the application is recommended/selected for funding, the designated ACL official will request that the applicant obtain the assurance within 30 days after the specific formal request.

3d. **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: ACL 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 ACL official will request that the applicant obtain and send the certification to ACL within 30 days after the formal request. No covered human subjects research can be conducted until the study has ACL 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 for similar populations, 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 ACL 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.