



**Administration for Community Living**

Administration on Aging

Building Long-Term Sustainability in State Lifespan Respite Programs

HHS-2014-ACL-AOA-LI-0078

Application Due Date: 06/05/2014

Building Long-Term Sustainability in State Lifespan Respite Programs

HHS-2014-ACL-AOA-LI-0078

TABLE OF CONTENTS

Overview

Executive Summary

I. [FundingOpportunityDescription](#)

II. [AwardInformation](#)

III. [EligibilityInformation](#)

1. Eligible Applicants

2. Cost Sharing or Matching

3. Responsiveness and Screening Criteria

IV. Application and Submission Information

1. [AddresstoRequestApplicationPackage](#)

2. [ContentandFormofApplicationSubmission](#)

3. [SubmissionDatesandTimes](#)

4. [IntergovernmentalReview](#)

5. [FundingRestrictions](#)

6. [OtherSubmissionRequirements](#)

V. [ApplicationReviewInformation](#)

1. Criteria

2. Review and Selection Process

3. Anticipated Announcement Award Date

VI. [AwardAdministrationInformation](#)

1. Award Notices

2. Administrative and National Policy Requirements

3. Reporting

4. FFATA and FSRS Reporting

VII. [AgencyContacts](#)

VIII. [OtherInformation](#)

**Department of Health & Human Services  
Administration for Community Living**

**ACL Center:** Administration on Aging  
**Funding Opportunity Title:** Building Long-Term Sustainability in State Lifespan Respite Programs  
**Announcement Type:** Initial  
**Funding Opportunity Number:** HHS-2014-ACL-AOA-LI-0078  
**Primary CFDA Number:** 93.072  
**Due Date For Letter of Intent:** **04/25/2014**  
**Due Date for Applications:** **06/05/2014**  
**Date for Informational Conference Call:** **04/15/2014**

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.

### **Executive Summary**

The Administration for Community Living (ACL) is providing this competitive grants opportunity to eligible state agencies to further implement and ensure the long-term sustainability of the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-442). ACL will fund up to approximately 14-15 grants to states who have completed, or who will be completing, initial three-year projects (i.e., Grants to New States from either FY 2009, 10, 11, 12 or 13). Federal funding levels of up to \$120,000 per year for a three year project with three separate budget years are anticipated, pending the availability of Federal funds.

Successful applicants will be expected to further implement and bring to scale a statewide Lifespan Respite Care Program that is integrated into the state's long-term services and supports (LTSS) system and fully sustainable beyond the period of Federal funding.

This is a limited grant competition. Applications will be accepted from, and awards will only be made to, eligible States/state agencies who:

- Administer the State's programs under the Older Americans Act of 1965; or
- Administer title XIX of the social Security Act; or
- Are designated by the Governor of the State to administer the State's programs under this title; AND who are
- An aging and disability resource center working in collaboration with a state respite coalition or organization; AND
- Are one of the following states previously funded with an initial three-year grant: Alabama, Arizona, Colorado, Connecticut, Delaware, District of Columbia, Hawaii, Idaho, Illinois, Iowa, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New York, North

Carolina, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Utah, Virginia, Washington State, and Wisconsin.

Only one application per State will be funded. All applicants must demonstrate the support and active involvement of a range of government and non-government, private, non-profit and other organizations with a stake in serving populations eligible to receive services under the Lifespan Respite Care Act. Grantees will be expected to develop and/or strengthen broad collaborations with multiple state and local agencies representing all ages, populations and disability/disease groups in planning and carrying out the requirements of the project.

Prospective applicants should be sure to read, understand and fully respond to all requirements of this announcement.

## I. Funding Opportunity Description

### Purpose

The Administration for Community Living (ACL) is providing this competitive grant opportunity to further the implementation, integration and sustainability of the requirements of the Lifespan Respite Care Act of 2006 (P.L. 109-442). Eligible State agencies receiving funding under this Announcement are expected to work through aging and disability resource centers and in collaboration with state respite coalitions or other state respite organizations to enhance and expand the availability of Lifespan respite services in the state.

Despite the considerable progress made by grantees since program implementation began in FY 2009, more work remains to ensure that family caregivers across the lifespan have access to high-quality, coordinated, and person/family-centered respite resources. To that end, successful applicants will be expected to identify areas where additional program development and refinement are needed and propose interventions to address those needs. Additionally, this funding opportunity seeks to enable states to further scale and more fully integrate respite services across the lifespan while measuring progress towards the realization of fully functioning and sustainable Lifespan Respite Programs.

Applicants should be aware that this is a highly competitive opportunity. Limited funds are available to support applicants' proposed projects. Therefore only those applications deemed to show the greatest likelihood of success will be selected for funding. Applications will be evaluated on the extent to which each of the required elements described in this Announcement is addressed in application narratives and supporting documents.

### Background

#### *Family Caregiving, Respite and the Lifespan Respite Care Act of 2006*

As the foundation of America's long-term care system, family caregivers regularly assist relatives and other loved ones with a broad range of tasks ranging from routine to complex. A 2009 study examining the prevalence and experiences of family caregivers estimated that 65.7 million people in the U.S. were unpaid family caregivers to an adult or child. Nearly 32 percent (36.5 million) of U.S. households reported the presence of a family caregiver during the same 12 months.[1]

The population of family caregivers is highly diverse. Caregivers are male and female, younger and older, live in urban and rural settings, and may or may not possess adequate financial resources to meet their own daily needs or the needs of those for whom they care. Despite great diversity, several commonalities among family caregivers require careful consideration when developing support interventions and programs. For example:

- Family caregivers perform tasks ranging from administrative tasks such as bill paying and household management to providing complex medical care to their loved ones;[2]
- Family caregivers often do not recognize that they are caregivers and, instead, view what they are

doing as fulfilling a familial role;

- Once caregivers recognize themselves as such, they often reach out for help too late;
- When caregivers do ask for assistance like respite care, they often encounter fragmented, narrowly targeted programs or are unable to afford the respite options available to them;<sup>[3]</sup> and
- Many family caregivers lack sufficient information about where to find supportive services, including respite, or how to choose from among the available options.

Just as family caregivers are the foundation of the LTSS system, respite is often a mainstay of efforts to provide support and relief to those families. Respite provides temporary relief from the ongoing responsibility of caring for an individual of any age with special needs. When provided in a timely and effective manner, respite can strengthen the family system and protect the health and well-being of both caregiver and care recipient.

Currently, several Federal, state and private funding streams support, or have the potential to support, planned and emergency or crisis respite care for caregivers. Each program typically contains specific eligibility requirements in order to receive services, potentially creating difficulties in accessing services and gaps in service availability.<sup>[4]</sup> For example:

- The National Family Caregiver Support Program (NFCSP) is designed to address difficulties and service gaps, providing a range of services to meet the diverse needs of caregivers, including respite, access to assistance and caregiver training and education;
- Section 1915(c) and 1115 Medicaid waivers also include provisions for respite care and permit states to include respite option;
- In recent years, the U.S. Department of Veterans Affairs (VA) has increasingly focused on providing a range of services, including respite, to family members caring for veterans of past and present conflicts; and
- Demonstration projects, model grants and other initiatives at the Federal, state and local levels may include respite care for families as a component of a comprehensive community-based supports.

The disparate nature of both funding streams and eligibility requirements for respite programs may result in long waiting lists or complex bureaucratic mazes of application processes and/or eligibility requirements that are difficult for families to navigate. Therefore, the need to coordinate the availability and dissemination of information about respite programs, identify and fill gaps in available respite options, recruit and train respite providers and volunteers, and improve the overall quality of available respite resources is a central component of the Lifespan Respite Care Act of 2006 (the Act).

The Act defines lifespan respite care as “a coordinated system of accessible, community-based respite care services for family caregivers of children or adults with special needs.” Such a system brings together Federal, state and local resources and funding streams to help support, expand and streamline the delivery of planned and emergency respite services, while also providing for the recruitment and training of respite workers and caregiver training and empowerment. The Act seeks to accomplish the following objectives:

- Expand and enhance respite services in the states;
- Improve coordination and dissemination of service delivery between the various respite programs and funding streams;
- Improve consumer access to respite programs by streamlining the means by which consumers access them and by filling service gaps where necessary; and
- Improve the overall quality of the respite services currently available as a result of the previous three objectives.

Rather than supplant, replace, or duplicate Federal, state, local and private respite care development and

funding activities, the Act is intended to facilitate coordination between programs, reduce duplication of effort, and assist in the development of respite care infrastructure at the state and local levels.

Applicants to this Funding Announcement are encouraged to read the text of the Lifespan Respite Care Act of 2006 in its entirety, including the committee report accompanying the legislation. Full text of the legislation may be found at: <http://thomas.loc.gov/cgi-bin/cpquery/T?&report=hr716&dbname=109&>.

### *The Federal Lifespan Respite Care Program – Current Status*

The foundation of the Federal Lifespan Respite Program was laid in the 1990's when several states created programs either through legislative activities or as a result of the collective commitment and activities of a dedicated group of volunteers who sought to implement a program without authorizing legislation.[5] The early efforts by states helped to create community-based networks of local partnerships, including family caregivers, providers, state and federally funded programs, area agencies on aging, non-profit organizations, health services, local businesses and faith-based organizations all working to ensure capacity of available respite and related services.

These programs were the precursors to and inspiration for the Federal program created in 2006 with the passage of the Federal Lifespan Respite Care Act. Since 2009, Congress has appropriated approximately \$2.5 million for grants to eligible State agencies to implement the Federal Lifespan Respite Care program. In five years of program implementation activity, ACL has funded 31 states and the District of Columbia to develop and implement Lifespan Respite Care Programs.

To date, the grantees have made considerable progress in building sustainable programs capable of meeting the respite care needs of caregivers across the lifespan.[6] Grantees have undertaken numerous and varied activities designed to strengthen state capacities to meet the respite needs of families across the lifespan, while focusing on ensuring that family caregivers benefit from improved access to quality respite resources.

### **Required Activities and Recommended Approaches:**

The overarching goal of this funding opportunity is to support the further integration and ultimate sustainability of the requirements of the Lifespan Respite Care Act of 2006 into state LTSS. To that end, ACL will only fund projects that clearly demonstrate how the project will move the state in the direction of more complete integration of respite and related supports into the state LTSS and who propose to serve all eligible respite recipients, including family members, foster parents, or other adults providing unpaid care to adults needing care to meet basic daily needs or prevent injury and to children who require care beyond that required to meet their basic needs.

Applicants are expected to address the statutory requirements described below AND the Additional Requirements and Recommended Activities described next. Applicants are encouraged to consider a broad range of possible approaches, strategies and partnerships in carrying out the requirements of this funding opportunity

Application narratives should clearly and completely describe the eligible State agency's plan for implementing the required services and any optional services listed below. Within that framework, each applicant under this Option must fully describe how proposed projects will, at a minimum:

- Further expand and enhance respite care services to family members;
- Improve the statewide dissemination and coordination of respite care; and
- Provide, supplement, or improve access and quality of respite care services to family caregivers, thereby reducing family caregiver strain.

The Lifespan Respite Care Act specifically mandates the development and provision of five required services. To that end, applicants must propose projects that use awarded funds for implementing all the following statutorily required services:

- The provision of respite care services for family caregivers caring for children or adults – NOTE: applicants to this FOA are required to use some portion of funds for the provision of respite services on a planned or emergency basis;
- Development and enhancement of lifespan respite care at the State and local levels;
- Training and recruiting of respite care workers and volunteers;
- The provision of information to caregivers about available respite and support services; and
- Assistance to caregivers in gaining access to such services.

Additionally, funds awarded under this FOA may be used to develop a range of optional services, including:

- Training programs for family caregivers to assist family caregivers in making informed decisions about respite care services;
- Other services essential to the provision of respite care; or
- Training and education for new caregivers.

### **Additional Required Systems Development Focus Areas**

Because the goal of this FOA is to encourage and support further integration, scaling and long-term sustainability of state Lifespan Respite Programs, grantees will be expected to identify and address additional areas of program development which they believe will advance the state’s capacity to better meet the respite needs of families and family caregivers.

Therefore, applicants are required to identify and propose approaches that address a minimum of two additional systems development or consumer-based respite needs, by the end of their projects. Examples of such objectives include, but are not limited to:

1. Develop and adopt a statewide respite/caregiver support strategic plan that bridges respite/family caregiver supports across the age and disability spectrum and that builds on current or planned activities pertaining to Olmstead, Alzheimer’s disease/dementia capability, person-centered/family-centered planning activities and related HCBS planning;
2. Implement a workforce development initiative targeting paid and/or volunteer respite providers that is fully sustainable beyond federal funding;
3. Launch a fully functional and self-sustaining respite database with information covering all areas of the state and available to all family caregivers across the lifespan;
4. Establish a person/family-centered statewide respite voucher program or other gap-filling respite service delivery modality that is fully sustainable via other funding streams by the end of the project;
5. Integration of lifespan respite/caregiver supports into other state Long-Term Services and Support (LTSS) development initiatives, including (but not limited to) Medicaid waivers, Medicaid/Medicare managed care, VA Programs, hospice and palliative care, Money Follows the Person, Balancing Incentives Program, and Care Transitions initiatives;
6. Strategies to work with the private sector/business community to expand the availability of respite and family support options available to employees who are caregivers and the broader community; and/or
7. An additional activity (or activities) not listed here, provided they are demonstrated to be of significant scope or impact so as to advance the field of respite in the state. If this option is selected, applicants must provide sufficient justification and description in their narrative proposals to fully describe scope and need.

### **Additional Application Elements:**

ACL understands that the current status of program development varies from state to state. ACL also recognizes that not all states will start from the same place in designing or bringing to scale and

integrating their programs. Therefore, all proposals will be evaluated based on the extent of the progress a state expects to make under the grant in building upon previous projects. Applicants will be required to fully describe their state's present capacity to deliver Lifespan Respite and how proposed new activities build upon and strengthen those capacities.

All applicants must propose projects that fully implement the required services specified by the Lifespan Respite Care Act and described above, while demonstrating:

1. An understanding of the population to be served. Knowledge of the family caregiver population for whom lifespan respite program services are to be provided, or for whom respite care workers and volunteers will be recruited and trained, is an essential requirement of any successful application.

Applicants must build upon their understanding of the population to be served gained as a result of previous projects. Additionally, the intervention must fully describe how this knowledge will be brought to bear on the further development and integration of the Lifespan Respite Care Program concept and philosophy.

Applicants should refer to Section IV, 2.b of this Announcement for a full description of legislatively mandated application narrative requirements.

2. How proposed programs will help families better navigate the respite care system and gain access to the programs most appropriate for their needs. Lifespan Respite Programs should assist families by identifying current respite funding streams in the State and assist families with eligibility determination. Families who do not qualify for any existing respite programs or services may have those services paid for by the Lifespan Respite Care Program. Therefore, applicants should describe how proposed activities will further enable families to navigate available service options and gain access to those services.

3. How all family members, regardless of age or disability will be served. All family members, regardless of the age, disability or chronic condition of their loved ones, should be able to access a Lifespan Respite Program to obtain information on how and where to find respite services and providers from among those currently existing.

Eligible respite recipients include family members, foster parents, or other adults providing unpaid care to adults who require care to meet basic needs or prevent injury and to children who require care beyond that required to meet the basic needs of the child.

For the purposes of this Program Announcement, family caregivers include grandparents, of any age, who are primary caretakers of children or adults with special needs. Further, "unpaid family caregivers" are those caregivers who do not receive funding to provide care as their primary means of income.

All activities proposed in response to this Announcement must, from the outset, address the respite needs of all age and disability/special needs populations. To that end, applicants must describe their plan for serving all age groups and disability categories, without preference for a select demographic group or disability population. No phase-in or preferences for age groups or disability categories will be permitted.

4. Stakeholder collaboration, partnerships and consumer inclusion. The Lifespan Respite Care Act is designed to facilitate coordination of respite programs in the state, reduce or eliminate duplication of effort and assist in the development of statewide respite care infrastructure. Grantees will be required to coordinate with existing public or private respite care programs and should demonstrate the broadest possible collaboration with relevant respite and other stakeholders from across the age and disability spectrum. Applications must include a description of the eligible State agency's:

- Ability to work with other State and community-based agencies;
- Understanding of respite care, and family caregiver issues across all age groups, disabilities, and chronic conditions; and
- Capacity to ensure meaningful involvement of family members, family caregivers, and care

recipients.

Applications should clearly demonstrate via letters of support and other mechanisms, the commitment of key state- and local-level organizations and stakeholders from across the age and disability spectrum as full partners in the design, implementation, and evaluation of the Lifespan Respite Program. Such organizations might include but are not limited to:

- State government agencies providing human services programs across the age and disability spectrum, of which respite may (or may not) be a component service;
- Providers of respite care serving the full range of population groups with varying, disabilities and service needs and for whom respite is an essential component of remaining in the community; and
- Non-profit organizations that function at the state and local levels to enhance services and education to persons with respite care needs, their families, and caregivers to enhance and promote the coordination of a more comprehensive and appropriate service delivery between the social service network and the state service system.

Grantees must carry out the activities of their programs in collaboration with a non-profit statewide respite coalition and the Aging and Disability Resource Center (ADRC). Applicants should detail the means by which the respite coalition/organization and the ADRC will work collaboratively with the grantee in designing, implementing and managing the program.

**IMPORTANT!** A memorandum of agreement regarding the joint responsibility for the development of the state's lifespan respite program between the eligible State agency and the public or private nonprofit statewide respite coalition or organization must be in place at the time of application and submitted with the application. Applicants are encouraged to embed flexibility within the MOU so that all parties to the Agreement can modify scope, tasks or partnerships as the need arises. **A copy of such memorandum must be included as part of ALL application packages.**

5. Sustainability. The ultimate goal of this funding opportunity is to realize the long-term sustainability of the activities and initiatives undertaken with these grant funds. To that end, applications will be scored on the extent to which a plan for the project's sustainability beyond the period of Federal funding is articulated. Applicants are encouraged to consider a range of materials and resources for developing sustainable programs that may be found on the Technical Assistance Resource Center for Lifespan Respite Programs at:[http://www.lifespanrespite.memberlodge.org/Sustainability\\_Tools](http://www.lifespanrespite.memberlodge.org/Sustainability_Tools)

### *Products*

Grantees will be doing much to advance Lifespan Respite Care Programs at the state and local level. As such, grantees' experiences during the course of the project will be looked at with interest by other states seeking guidance and direction as they embark on the development of similar programs into the foreseeable future. To more easily facilitate replication of programs and approaches by other states and to eliminate the need to "reinvent the wheel," grantees will be asked to submit to ACL and the TA Resource Center, key products that can serve as resource guides for future Lifespan Respite Care program development, enhancement, and expansion.

Grantees are encouraged to develop for dissemination products such as: (1) a "how-to" manual that will readily allow others to implement a Lifespan Respite Care program within their own state or community; (2) materials (i.e., training tools, surveys, brochures, etc.) that can be easily reproduced by others implementing such programs at the state or community level; and (3) caregiver assessment and satisfaction instruments and other grant-related tools and resources. Copies of all final products are to be submitted to ACL at the conclusion of the grant.

### *Performance Measurement, Semi-Annual Reporting and Program Evaluation*

Performance measurement, reporting, and project evaluation are key components of program design and implementation. Based upon work of past, current and future grantees, ACL will likely be developing and

seeking OMB clearance for a new reporting format that specifically captures the accomplishments and impacts specifically for the Lifespan Respite Care Program. Applicants should be aware that, if funded, reporting requirements (e.g., templates used and information required) could change midway through the project period. Should that happen, ACL will work closely with grantees to ensure a full understanding of, and transition to, the new reporting requirements.

If funded, applicants will be expected to submit program and progress reports semi-annually using standard ACL templates and processes. Semi-annual reports will include information on project accomplishments, challenges, progress towards measurable outcomes and products developed. When reporting accomplishments, grantees may wish to employ a range of strategies for measuring and reporting on progress on factors such as systems development, family caregivers served, partnership and stakeholder involvement and other relevant activities.

The ACL Project Officer and grantee staff and partners (as appropriate) will meet at least semi-annually by phone to review project developments and accomplishments as well as discuss future endeavors and goals. These meetings will also be an opportunity to provide guidance and technical assistance regarding program development and to hear from stakeholder organizations about those issues of importance to Lifespan Respite Care Programs nationwide.

Finally, applications will be scored on the extent to which a robust project evaluation is undertaken. Evaluations should, at a minimum, determine the effectiveness and impacts of the strategies and processes used for execution of project goals at both the systems development and consumer (service provision) levels. For further guidance on developing a project evaluation, see Section IV 2.b of this FOA.

#### *Participation in Technical Assistance Efforts*

Grantees will be expected to participate in technical assistance activities as they pertain to Lifespan Respite Care Program development, management, and integration. This includes, but is not limited to, participation in regularly scheduled conference calls, web casts and one-on-one Technical Assistance opportunities initiated by the ACL Project Officer, the Lifespan Respite Program Technical Assistance Resource Center, or as requested by the grantee and stakeholders themselves.

Additionally, grantees are strongly encouraged to budget resources for travel to and participation in the National Respite Conference, convened annually by ARCH. This conference provides participants with the opportunity to learn about the latest trends in respite program development and with the opportunity to network and share best practices associated with Lifespan Respite Care Program implementation.

#### *Grants and Subcontracts*

Grantees may carry out the required and optional activities described above directly or by sub-grant to, or contract with, public or private entities. Due to the nature of this program, the State Project Director must maintain an active role in the implementation and management of this project. Applicants who propose conduit or pass-through funding for another agency to lead the project will not be considered for funding.

Applicants under this funding announcement should clearly describe, if necessary, their processes for subcontracting specific grant activities. Additionally, applicants should clearly describe the role of the project director along with the stakeholder group that will guide the design and implementation of the Lifespan Respite Program in the state.

[1] National Alliance for Caregiving/AARP. Caregiving in the U.S. 2009. Bethesda, MD: National Alliance for Caregiving and Washington, D.C.: AARP, 2009.

[2] See the 2012 AARP/United Hospital Fund study entitled Home Alone: Family Caregivers Providing Complex Chronic Care.

[3] Whitlatch, C.J. and Feinberg, L.F. Family and Friends as Respite Workers. Journal of Aging Social Policy. New York: Routledge, 2006. 18(3-4): 127-139. AND Yanizi, NM, Rosenberg, MW, and

McKeever, P. Getting out of the House: The Challenges Mothers Face When their Children Have Long-Term Care Needs. 2007, Health Soc. Care Community 15 (1):45-55.

[4] For a number of resources and publications related to various respite programs and funding streams across the lifespan, visit the ARCH National Respite Network and Resource Center web site at:

[http://www.lifespanrespite.memberlodge.org/Federal\\_Funding\\_Guide](http://www.lifespanrespite.memberlodge.org/Federal_Funding_Guide) and

<http://www.archrespite.org/productspublications/products-and-publications#federalfunding>

[5] For more information on the status of Lifespan Respite Programs in the states, visit the ARCH National Respite Network's web site at: <http://chtop.org/ARCH.html>

[6] For more information about the current Lifespan Respite Care Program grantees and their activities, please visit AoA's web site at: <http://www.acl.gov/Programs/CDAP/OIP/LifespanRespite/index.aspx>

## Statutory Authority

The statutory authority for grants under this program announcement is contained in Title XXIX of the Public Health Service Act (42 U.S.C. 201 et seq.), as amended by the Public Health Service Act P.L.109-442. (Catalog of Federal Domestic Assistance 93.072).

## II. Award Information

Funding Instrument Type:	Grant
Estimated Total Funding:	\$1,800,000
Expected Number of Awards:	14
Award Ceiling:	\$120,000 Per Budget Period
Award Floor:	\$0 Per Budget Period
Average Projected Award Amount:	\$120,000 Per Budget Period
36-month project with three 12-month budget periods	

The ACL plans to fund approximately 14 and 18 grants with a federal funding level of up to \$120,000 per year for three year project periods with three separate budget years, pending availability of federal funds. Grantees shall use funds for the purposes of bringing to scale and more fully integrating respite services across the lifespan with continued and measurable progress towards the realization of sustainable Lifespan Respite systems. The number of awards and the amount of each will vary based on the following factors: 1) appropriation levels, and 2) the number of applications funded under FOA entitled Grants to New States (HHS-2014-ACL-AoA-LR-0077).

Because the nature and scope of the proposed projects will vary from application to application, it is anticipated that the size of each award will also vary. Funding awards will be reflective of the scope of work proposed by each applicant. ACL reserves the right to offer a lower funding level than the requested amount.

Funding decisions are at the discretion of the Administrator for ACL/Assistant Secretary for Aging. Only those applications ranking the highest in a third party review will be recommended for funding by the ACL Program Officer. It is anticipated that not all applications will be funded. Further, when awarding grants under this Announcement, priority consideration will be given to eligible State agencies showing the greatest likelihood of implementing or enhancing lifespan respite care programs statewide and who are building or enhancing the capacity of their long-term care systems to respond to the comprehensive needs, including respite care needs, of their residents.

## III. Eligibility Information

### 1. Eligible Applicants

This is a limited grant competition. Awards will only be made to eligible state agencies to that administer the State's program under the Older Americans Act of 1965; or, administer the State's program under title XIX of the Social Security Act; or, are designated by the governor of the state to administer the State's programs under this Announcement.

This grant competition is further limited as follows: applications will only be accepted from Alabama, Arizona, Colorado, Connecticut, Delaware, District of Columbia, Hawaii, Idaho, Illinois, Iowa, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New York, North Carolina, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Utah, Virginia, Washington State, and Wisconsin.

## 2. Cost Sharing or Matching

Cost Sharing / Matching Requirement: Yes

Section 2902 of the Public Health Service Act (42 U.S.C. 201 et seq.), as amended, requires that grantees provide at least 25% match (cash or in-kind) of total costs. **Waivers to these match requirements are not allowed.**

Under this ACL program, ACL will fund no more than 75% of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project's total cost. This "three-to-one" ratio is reflected in the formula included under Item 18 in the "Instructions for Completing Requested Forms." You can use this formula to calculate your minimum required match. A common error applicants make is to match 25% of the Federal share, rather than 25% of the project's total cost.

There are two types of match: 1) non-Federal cash and 2) non-Federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered matching funds. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (thirdparty) donations. Examples of non-Federal cash match includes budgetary funds provided from the applicant agency's budget for costs associated with the project. ACL encourages you to not exceed the minimum match requirement. Applications with a match greater than the minimum required will not receive additional consideration under the review. Match is not one of the responsiveness criteria as noted in Section III, 3 Application Screening Criteria.

## 3. Responsiveness and Screening Criteria

### Application Responsiveness Criteria

All Applications will go through an initial screening to verify that the applicant:

1. Is an Eligible State Agency, as outlined in Section III (I) of this Program Announcement;
2. Has included in the application package an MOU between the Eligible State Agency and the statewide respite coalition/organization; AND
3. Does not propose conduit or pass-through funding for another agency to lead the project.

Applications that fail to meet all three of the above criteria will not be reviewed and will receive no further consideration.

## Application Screening Criteria

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

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

1. Applications must be submitted electronically via <http://www.grants.gov> by 11:59 p.m., Eastern Time, by the **due date listed in section IV.3 Submission Dates and Times**.
2. The Project Narrative section of the Application must be **double-spaced**, on 8 ½" x 11" plain white paper with **1" margins** on both sides, and a **standard font size of not less than 11, 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.

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

## IV. Application and Submission Information

### 1. Address to Request Application Package

Application materials can be obtained from <http://www.grants.gov> or [http://www.acl.gov/Funding\\_Opportunities/Announcements/Index.aspx](http://www.acl.gov/Funding_Opportunities/Announcements/Index.aspx).

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

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

- You may access the electronic application for this program on <http://www.grants.gov>. You must search the downloadable application page by the Funding Opportunity Number or CFDA number.
- At the <http://www.grants.gov> website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process through <http://www.grants.gov> because of the time involved to complete the registration process.
- All applicants must have a DUNS number ([www.dnb.com](http://www.dnb.com)) and be registered with the System for Award Management (SAM, [www.sam.gov](http://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. Finalize a new, or renew an existing, registration at least two weeks before the application deadline. 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/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf).

- HHS requires all entities that plan to apply for, and ultimately receive, federal grant funds from any HHS Agency, or receive sub-awards directly from recipients of those grant funds to:
  - Be registered in the SAM prior to submitting an application or plan;
  - 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
  - Provide its active DUNS number in each application or plan it submits to the OPDIV.
- The agency is prohibited from making an award until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the agency:
  - May determine that the applicant is not qualified to receive an award; and
  - May use that determination as a basis for making an award to another applicant.
- **Note:** Failure to submit the correct suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) **or receive subawards directly from the recipients of those grant funds** to be:
  1. Be registered in SAM prior to submitting an application or plan;
  2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
  3. Provide its DUNS number in each application or plan it submits to the OPDIV.

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

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

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

- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. It is entered on the SF 424. It is a unique, **nine-digit identification number**, which provides unique identifiers of single business entities. The DUNS number is *free and easy* to obtain.
- Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link to access a guide: [http://www.whitehouse.gov/sites/default/files/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf).
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.
- Prior to application submission, Microsoft Vista and Office 2007 users should review the <http://www.grants.gov> compatibility information and submission instructions provided at <http://www.grants.gov> (click on “**Vista and Microsoft Office 2007 Compatibility Information**”).
- **Your application must comply with any page limitation requirements described in this**

### **Program Announcement.**

- After you electronically submit your application, you will receive an automatic acknowledgement from <http://www.grants.gov> that contains <http://www.grants.gov> tracking number. The Administration for Community Living will retrieve your application form from <http://www.grants.gov>.
- After the Administration for Community Living retrieves your application form from <http://www.grants.gov>, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by <http://www.grants.gov>.
- Each year organizations applying for Federal grants through <http://www.grants.gov> need to register or update their registration with the System for Award Management (SAM) [Formerly the Central Contractor Registry (CCR)]. You can complete the initial registration on [www.SAM.gov](http://www.SAM.gov) in three days; however, you must update your registration on [www.SAM.gov](http://www.SAM.gov) every year, which can take five days. When you register, or update your registration on [www.SAM.gov](http://www.SAM.gov), you must have your DUNS number and other information about your organization available.
- To keep your SAM.gov registration active, be sure to renew at least once each year. If your registration expires you cannot submit a grant application until it is renewed.

### **Contact person regarding this Program Announcement:**

Greg Link  
Administration for Community Living  
Administration on Aging  
Washington, DC  
Phone: (202) 357-3545  
Email: [greg.link@acl.hhs.gov](mailto:greg.link@acl.hhs.gov)

## **2. Content and Form of Application Submission**

### **a. Letter of Intent**

#### **Letter of Intent**

Due Date for Letter of Intent: **04/25/2014**

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

Greg Link

Office of Supportive and Caregiver Services

Email(preferred): [greg.link@acl.hhs.gov](mailto:greg.link@acl.hhs.gov)

Fax: 202-357-3549

## **b. Project Narrative**

The Project Narrative must be double-spaced, on 8 ½” x 11” paper with 1” margins on both sides, and a standard font size of not less than 11, preferably Times New Roman or Arial. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. 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. The Project Work Plan, Letters of Commitment, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections noted below are included in the limit.

The components of the Project Narrative counted as part of the 20 page limit include:

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

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

### **Summary/Abstract**

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

### **Problem Statement**

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

For purposes of this Program Announcement, applicants are required to include the following descriptive information as it pertains to the caregiving needs and current respite care infrastructure in their state:

- The population of family caregivers in the state;
- The extent and nature of the respite care needs of that population;
- Existing respite care services for that population, including numbers of family caregivers being served and the extent of unmet needs;
- Existing methods or systems to coordinate respite care information and services to the population at the State and local level and the extent of unmet need in this area;
- A description of respite care services available to family caregivers in the eligible State agency’s State

or locality, including unmet needs and how the eligible State agency's plan for use of funds will improve the coordination and distribution of respite care services for family caregivers of children and adults with special needs; and

- The criteria used to identify family caregivers eligible for respite care services.

### **Goals and Objectives**

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

### **Proposed Intervention**

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

In addition, applicants must describe the following:

- How respite care information dissemination and coordination, respite care services, respite care worker and volunteer recruitment and training programs, or training programs for family caregivers that assist them in making informed decisions about respite care services will be provided using funds provided under this Announcement;
- A plan for administration, collaboration, and coordination of the proposed respite care activities with other related services or programs offered by public or private, nonprofit entities, including area agencies on aging;
- How the population, including family caregivers, care recipients, and relevant public or private agencies, will participate in the planning and implementation of the proposed respite care activities;
- How the proposed respite care activities will make use, to the maximum extent feasible, of other Federal, State, and local funds, programs, contributions, other forms of reimbursements, personnel, and facilities;
- A description of how the quality and safety of any respite care services provided will be monitored, including methods to ensure that respite care workers and volunteers are appropriately screened and possess the necessary skills to care for the needs of the care recipient in the absence of the family caregiver; and
- A description of the measures to be taken to ensure the confidentiality of the individuals served by the program.

### **Special Target Populations and Organizations**

This section should describe how you plan to involve community-based organizations in a meaningful way in the planning and implementation of the proposal project. This section should also describe how the proposed intervention will target disadvantaged populations, including limited-English speaking populations.

## **Outcomes**

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

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

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

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

## **Project Management**

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

## **Evaluation**

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

## **Dissemination**

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

### **Organizational Capacity Statement**

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

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

### **c. Work Plan**

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

### **d. Letters of Commitment from Key Participating Organizations and Agencies**

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

### **e. Budget Narrative/Justification**

The Budget Narrative/Justification 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. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required.

### **3. Submission Dates and Times**

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

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

Grants.gov (<http://www.grants.gov>) will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in <http://www.grants.gov>.

Due Date for Applications: **06/05/2014**

Date for Informational Conference Call: 04/15/2014

Teleconference Details:

Time: 2:00 PM, Eastern

Telephone Number: 1-877-601-3548

Pass Code: LIFESPAN

#### **4. Intergovernmental Review**

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

#### **5. Funding Restrictions**

The following activities are not fundable:

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

**Note:** A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. Executive Orders on Promoting Efficient Spending (EO 13589) and Delivering Efficient, Effective and Accountable Government (EO 13576) have been issued and instruct Federal agencies to promote efficient spending. Therefore, if meals are to be charged in your proposal, applicants should understand such costs must meet the following criteria outlined in the Executive Orders and HHS Grants Policy Statement:

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

#### **6. Other Submission Requirements**

**IMPORTANT!** A memorandum of agreement regarding the joint responsibility for the development of the state's lifespan respite program between the eligible State agency and the public or private nonprofit statewide respite coalition or organization must be in place at the time of application and submitted with the application. Applicants are encouraged to embed flexibility within the MOU so that all parties to the Agreement can modify scope, tasks or partnerships as the need arises. A copy of such memorandum must be included as part of ALL application packages.

Greg Link

AOA

## V. Application Review Information

### 1. Criteria

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

- a. Project Relevance & Current Need
- b. Approach
- c. Budget
- d. Project Impact
- e. Organizational Capacity

#### Project Relevance & Current Need

**Maximum Points: 20**

##### *Purpose and Need (10 Points)*

1. Does the proposed project clearly and adequately respond to the priority area, as described in this Program Announcement?
2. Does this applicant clearly describe the need for further development of Lifespan Respite Care in the state?
3. Does the applicant demonstrate knowledge of the family caregiver populations to be served?
4. Does the application describe:
  - (a) The population of caregivers in the state;
  - (b) The extent and nature of respite needs of that population;
  - (c) Existing respite care services, including numbers currently served;
  - (d) Existing methods to coordinate respite information and services to the population?
  - (e) Respite services currently available in the state, including unmet needs?
  - (f) The criteria used to identify family caregivers eligible for respite care services?
5. In demonstrating knowledge of family caregiver populations, does the applicant apply the knowledge and lessons learned under previous Lifespan Respite grant(s) to further understand and describe the respite needs of family caregivers in the state?
6. Does the applicant describe how the proposed project will build upon the accomplishments made in previous Lifespan Respite Program grants?

##### *Problem to be Addressed (10 Points)*

1. Does the applicant include a description of the problems this proposal is intended to address

through the development of a Lifespan Respite Program?

2. Does the applicant provide appropriate demographic information as it applies to the State where the Lifespan Respite Program will be implemented?
3. Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge?

## **Approach**

**Maximum Points: 30**

### *Goals/Objectives (5 Points)*

1. Has the applicant stated clear and meaningful goals and objectives for the proposed program as well as problems that relate to the proposed program?
2. Are the goals and objectives reasonable and likely to be achieved?
3. Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success?
4. Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate?
5. Does the application tie current goals and objectives clearly to the applicant's work in their previous Lifespan Respite grant (s)?

### *Work Plan/Management Plan (5 points)*

1. Is the project work plan clear and comprehensive, covering all years of the project?
2. Does the work plan include sensible and feasible timeframes for the accomplishment of tasks presented?
3. Does the work plan include specific objectives and tasks that are linked to measurable outcomes?
4. Does the proposal include a clear and coherent management plan, including plans for administration, collaboration and coordination of respite care activities with other related services or programs offered by public or private nonprofit entities, including AAAs and other respite care organizations?
5. Are the roles and responsibilities of project staff, consultants and partners clearly delineated and linked to specific objectives and tasks?

### *Methods of Addressing the Problem (10 Points)*

1. Has the applicant described a coherent approach for building on the accomplishments made in previous grants?
2. Does the proposed approach address the problems described?
3. Has the applicant adequately described the plan for using the funds to implement each of the required and optional services?
4. Has the applicant adequately described their proposed approach for service provision?
5. Has the applicant proposed methods for tracking clients served?
6. Has the applicant adequately described an approach for workforce development and training?
7. Does the application clearly describe the proposed approaches for program integration?
8. Has the applicant adequately addressed the requirement for completion of two additional objectives by the end of the grant period?

### *Coordination and Linkages (10 Points)*

1. Does the application detail the means by which the State respite coalition/organization and the ADRC will work collaboratively with the grantee in designing, implementing and managing the program?
2. Does the application describe how other state and/or local community-based organizations will be involved in a meaningful way in the planning and implementation of the Lifespan Respite Program?
3. Does the applicant demonstrate inclusion of the full range of age and disability populations in the planning and implementation of the Lifespan Respite Program?
4. Does the proposed project include all eligible population groups, including disadvantaged and limited-English speaking populations in its targeting?
5. Does the application describe the plan for administering, collaborating and coordinating respite care activities in the state with other related programs and services?
6. Does the Memorandum of Agreement included in the application provide for adequate flexibility to modify parameters agreed to by the Eligible State Agency and the Respite Coalition/organization?

### **Budget**

**Maximum Points: 10**

#### *Adequacy, Scope and Applicability*

1. Does the budget and associated narrative cover all years of the proposed project?
2. Is the budget justified with respect to the adequacy and reasonableness of resources requested?
3. Is the scope of project activities consistent with the resources requested?
4. Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management and timely completion of the project?
5. Are the budget amounts proposed for personnel proportionate to other activities, given the scope of the proposal?
6. Are budget line items clearly delineated and consistent with work plan objectives?

### **Project Impact**

**Maximum Points: 20**

#### *Project Outcomes (5 Points)*

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

#### *Project Evaluation (5 Points)*

1. Does the project evaluation reflect a thoughtful and well-designed approach to measure whether or not the project has achieved its proposed outcome(s)?
2. Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes?
3. Is the evaluation also designed to capture “lessons learned” from the overall effort that might be of use to others in the field, especially those who might be interested in replicating the project?

4. Will the evaluation permit a determination of whether objectives have been achieved?
5. Does the applicant describe how the quality and safety of respite care services will be monitored, including methods to ensure appropriate screening of workers?
6. Is the applicant's commitment to partnering with ACL, the Resource Center, and other grantees in the development of a performance measures framework adequately described?

*Sustainability (7 Points)*

1. Is there a plan to make use, to the maximum extent possible, other Federal, state and local funds, programs, contributions, other forms of reimbursement, personnel, and facilities to expand and enhance availability of respite services?
2. Is there a clear and realistic plan to try to secure resources to continue program activities after Federal financial assistance has ended?
3. Is the sustainability of the program likely?

*Dissemination (3 Points)*

1. Will the dissemination plan get relevant and easy to use information about respite care services, worker recruitment and training, and programs for family caregivers, including training, in a timely manner to parties that might be interested in making use of its findings, particularly to those who might want to replicate the project?
2. Does the dissemination plan include multiple means for delivering information, including electronic, print and web based methods?

**Organizational Capacity**

**Maximum Points: 20**

*Project Staffing and Qualifications (10 Points)*

1. Does the applicant organization clearly identify their capacity for carrying out the proposed project and evaluation?
2. Do the proposed project director(s), key staff and consultants have the background, experience, and other qualifications required to carry out their designated roles?
3. Are letters from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions?

*Organization and Management (10 Points)*

1. Does the applicant demonstrate the commitment to lead the project?
2. Does the application adequately describe the agency's ability to work with other state and community based agencies?
3. Does the applicant's proposed approach for working with public and private non-profit state respite coalitions/organizations seem feasible?
4. Does the applicant demonstrate an understanding of respite care and family caregiver issues across all age groups, disabilities, and chronic conditions?
5. Does the applicant demonstrate capacity and commitment to ensuring meaningful involvement of family members, family caregivers, and care recipients?
6. Does the applicant demonstrate the commitment to implement the program so as to serve all age groups, disability populations without preference for select demographic or disability groups?
7. Do the proposed project director(s), key staff and consultants have the background, experience,

and other qualifications required to carry out their designated roles?

8. Are letters of support from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions?

9. Are assurances in place that the grantee will have a system for maintaining confidentiality of care recipient and family caregiver records?

## **2. Review and Selection Process**

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

Final award decisions will be made by the ACL Administrator/Assistant Secretary for Aging (ASA). In making these decisions, the ASA 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 are expected to be sent on or before July 31, 2014 for an anticipated start date of August 1, 2014.

## **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, and the ACL Office of Budget and Finance. Acceptance of this award is signified by the drawdown of funds from the Payment Management System. Unsuccessful applicants are generally notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail or U.S. mail. Unless indicated otherwise in this announcement, unsuccessful applications will not be retained by the agency and destroyed.

### **2. Administrative and National Policy Requirements**

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

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 to 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.

### **3. Reporting**

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

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

#### **4. FFATA and FSRs Reporting**

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

For further guidance please see the following link:

[http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/FFATA.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/FFATA.aspx)

### **VII. Agency Contacts**

#### **Project Officer:**

Greg Link  
US Department of Health and Human Services  
Administration for Community Living  
Administration on Aging  
Phone: (202) 357-3545  
Email: [Greg.Link@acl.hhs.gov](mailto:Greg.Link@acl.hhs.gov)

#### **Grants Management Specialist:**

Christine Ramirez  
US Department of Health and Human Services  
Administration for Community Living  
Administration on Aging  
Email: [Christine.Ramirez@acl.hhs.gov](mailto:Christine.Ramirez@acl.hhs.gov)

### **VIII. Other Information**

#### **1. Application Elements**

- a. SF 424, required – Application for Federal Assistance (See “Instructions for Completing Required Forms” for assistance).
- b. SF 424A, required – Budget Information. (See Attachment A for Instructions; See “Standard Form 424A – Sample Format” for an example of a completed SF 424A).
- c. Separate Budget Narrative/Justification, required (See “Budget Narrative/Justification - Sample Format” for examples and “Budget Narrative/Justification – Sample Template.”)

NOTE: Applicants requesting funding for multi-year grant projects are REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi-year detailed Budget Narrative/Justification.

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

e. Lobbying Certification, required

f. Proof of non-profit status, if applicable

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

h. Project Narrative with Work Plan, required (See “Project Work Plan – Sample Template” for a formatting suggestions).

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

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

k. Memorandum of Understanding between the Eligible State Agency (Applicant) and the Statewide Respite Coalition/Organization (REQUIRED).

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

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The project description and Budget Narrative/Justification is approved under OMB control number 0985-0018 which expires on 3/12/17. 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.

### 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 (<http://www.grants.gov>) or by going directly to the SAM website ([www.sam.gov](http://www.sam.gov)).

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

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

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

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

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

9. **Type of Applicant:** (REQUIRED) Select the applicant organization "type" from the following drop down list.

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

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

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

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

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

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

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

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

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

17. **Proposed Project Start and End Dates:** (REQUIRED) Enter the proposed start date and final end date of the project. **If you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.** In general, all start dates on the SF424 should be the 1st of the month and the end date of the last day of the month of the final year, for example 7/01/2014 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 74 or 45 CFR Part 92 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the total project period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd of the amount of Federal funds being requested (the amount in 18a). For a full explanation of ACL's match requirements, see the information in the box below. For sub-item 18f (program income), enter only the amount, if any, that is going to be used as part of the required match. Program Income submitted as match will become a part of the award match and recipients will be held accountable to meet their share of project expenses even if program income is not generated during the award period.

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

**NOTE: Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate

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

**ACL’s Match Requirement**

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

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

**Examples of varying match levels:**

- 1)  $\frac{\$100,000(\text{federal funds requested}) * 5\%(\text{match})}{95\%} = \$5,263$
- 2)  $\frac{\$100,000 * 25\%(\text{match})}{75\%} = \$33,333$
- 3)  $\frac{\$100,000 * 35\%(\text{match})}{65\%} = \$53,846$
- 4)  $\frac{\$100,000 * 45\%(\text{match})}{55\%} = \$81,818$

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

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

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

21. **Authorized Representative:** (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body’s authorization for you to sign this application as the official

representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

## **Standard Form 424A**

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

### **Section A - Budget Summary**

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

### **Section B Budget Categories**

Column 1: Enter the breakdown of how you plan to use the Federal funds being requested by object class category (see instructions for each object class category in Attachment C).

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

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

### **Section C – Non Federal Resources**

Column A: Enter the federal grant program.

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

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

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

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

### **Section D –Forecasted Cash Needs**

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

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

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

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial 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 break down but you must show the percentage charged for each full/part time employee.

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

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

Line 6d: **Equipment:** Enter the total costs of all equipment to be acquired by the project. For all grantees,

"equipment" is 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 74.44 for non-profits and 92.36 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

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

Line 6h: **Other:** Enter the total of all other costs. Such costs, where applicable, may

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

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable

concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. If meals are to be charged towards the grant they must meet the following criteria outlined in the Grants Policy Statement:

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

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

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

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

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

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

#### **c. Standard Form 424B – Assurances (required)**

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

#### **d. Certification Regarding Lobbying (required)**

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

compliance with these certifications.

**Proof of Non-Profit Status (as applicable)**

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

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

**Indirect Cost Agreement**

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

**Standard Form 424A - Sample Format**

OMB Approval No. 0348-0044 BUDGET INFORMATION--Non-Construction Programs						
SECTION A-BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
Lifespan Respite	93.048			340,294	113,433	453,727
2.						
3.						
4.						
5.				340,294	113,433	453,727
<b>TOTALS</b>						
SECTION B-BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function, or Activity				Total (5)	
	(1) Year 1	(2) Year 2	(3) Year 3	(4)		
a. Personnel	71,254	30,000	35,000		136,254	
b. Fringe Benefits	26,114	15,000	20,000		61,114	
c. Travel	7,647	5,000	5,000		17,647	
d. Equipment	10,000	0	0		10,000	
e. Supplies	9,460	2,500	1,000		12,960	
f. Contractual	30,171	0	0		30,171	
g. Construction	0	0	0		0	

h. Other	11,480	55,833	47,334	114,647
i. Total Direct Charges (Sum 6a-h)	166,126	108,333	108,334	382,793
OMB Approval No. 0348-0044 BUDGET INFORMATION--Non-Construction Programs				
j. Indirect Charges @	20,934	25,000	25,000	70,934
TOTALS (Sum 6i and j)	187,060	133,333	133,334	453,727
7. Program Income	None			

SECTION C-NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. Lifespan Respite	80,866	32,547		113,433	
9.					
10.					
11.					
12. TOTALS (Sum of lines 8 and 11)	80,866	32,547		113,433	
SECTION D-FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	140,294	20,000	50,000	20,000	50,294
	46,766	12,000	10,000	9,000	15,766
TOTAL (Sum of lines 13 and 14)					

SECTION E-BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d)	(e)
Life Span Respite	100,000	100,000		
17.				
18.				
19.				
20. TOTALS (Sum of lines 16-19)				
SECTION F-OTHER BUDGET INFORMATION				
21. Direct Charges	22. Indirect Charges			
23. Remarks				

**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.

<b>Object Class Category</b>	<b>Federal Funds</b>	<b>Non-Federal Cash</b>	<b>Non-Federal In-Kind</b>	<b>TOTAL</b>	<b>Justification</b>
Personnel	\$47,700	\$23,554	\$0	\$71,254	<p><b>Federal</b>                      Project Director (name) = .5 FTE @ \$95,401/yr = \$47,700</p> <p><b>Non-Fed Cash</b>                      Officer Manager (name) = .5FTE @ \$47,108/yr = <u>\$23,554</u></p> <p><b>Total</b>                      71,254</p>
Fringe Benefits	\$17,482	\$8,632	\$0	\$26,114	<p><b>Federal</b>                      Fringe on Project Director at 36.65% = \$17,482                      FICA (7.65%)                      Health (25%)                      Dental (2%)                      Life (1%)                      Unemployment (1%)</p> <p><b>Non-Fed Cash</b>                      Fringe on Office Manager at 36.65% = \$8,632                      FICA (7.65%)                      Health (25%)                      Dental (2%)                      Life (1%)                      Unemployment (1%)</p>
Travel	\$4,707	\$2,940	\$0	\$7,647	<p><b>Federal</b>                      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</p> <p><b>Total</b>                      \$4,707</p> <p><b>Non-Fed Cash</b></p>

					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 <u>\$360</u> Total \$2,940
Equipment	\$10,000	\$0	\$0	\$10,000	No Equipment requested OR: Call Center Equipment Installation = \$5,000 Phones = <u>\$5,000</u> Total \$10,000
Supplies	\$3,700	\$5,670	\$0	\$9,460	<b>Federal</b> 2 desks @ \$1,500 \$3,000 2 chairs @ \$300 \$600 2 cabinets @ \$200 \$400 <b>Non-Fed Cash</b> 2 Laptop computers \$3,000 Printer cartridges @ \$50/month \$300 Consumable supplies (pens, paper, clips etc...) @ \$180/month <u>\$2,160</u> 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 = <u>\$11,669</u> Total \$30,171  <i>If contract details are unknown due to          contract yet to be made provide same          information listed above and:          A detailed evaluation plan and budget</i>

					will be submitted by (date), when contract is made.
Other	\$5,600	\$0	\$5,880	\$11,480	<b>Federal</b> 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 <b>In-Kind Volunteers</b> 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.
<b>TOTAL</b>	<b>\$140,294</b>	<b>\$40,866</b>	<b>\$5,880</b>	<b>\$187,060</b>	

**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					
<b>TOTAL</b>					

**Project Work Plan - Sample Template**

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

Goal:

Measurable Outcome(s):

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

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

3.	
4.	
5.	
6.	

NOTE: Please do not infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

**Instructions for Completing the Project Summary/Abstract**

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

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

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

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

**Products** – materials, deliverables.

- A model abstract/summary is provided below:

The Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite services through the Delaware ADRC; 4) to increase availability of respite

services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.