



Administration for Community Living

Administration on Aging

Elder Justice Innovation Grants
HHS-2016-ACL-AOA-EJIG-0168
Application Due Date: 06/20/2016

Elder Justice Innovation Grants
HHS-2016-ACL-AOA-EJIG-0168

TABLE OF CONTENTS

- I. [Funding Opportunity Description](#)
- II. [Award Information](#)
- III. [Eligibility Information](#)
 - 1. Eligible Applicants
 - 2. Cost Sharing or Matching
 - 3. Responsiveness and Screening Criteria
- IV. Application and Submission Information
 - 1. [Address to Request Application Package](#)
 - 2. [Content and Form of Application Submission](#)
 - 3. [Submission Dates and Times](#)
 - 4. [Intergovernmental Review](#)
 - 5. [Funding Restrictions](#)
 - 6. [Other Submission Requirements](#)
- V. [Application Review Information](#)
 - 1. Criteria
 - 2. Review and Selection Process
 - 3. Anticipated Announcement Award Date
- VI. [Award Administration Information](#)
 - 1. Award Notices
 - 2. Administrative and National Policy Requirements
 - 3. Reporting
 - 4. FFATA and FSRS Reporting
- VII. [Agency Contacts](#)
- VIII. [Other Information](#)

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

ACL Center: Administration on Aging
Funding Opportunity Title: Elder Justice Innovation Grants
Announcement Type: Initial
Funding Opportunity Number: HHS-2016-ACL-AOA-EJIG-0168
Primary CFDA Number: 93.747
Due Date For Letter of Intent: 05/19/2016
Due Date for Applications: 06/20/2016
Date for Informational Conference N/A
Call:

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 Elder Justice Innovation Grants program supports the development and advancement of knowledge and approaches about new and emerging issues related to elder justice. Funded projects will contribute to the improvement of the field of elder abuse prevention and intervention at large, such as by developing materials, programs, etc. that can be widely disseminated and/or replicated, or by establishing and/or contributing to the evidence-base of knowledge. Through this program announcement, ACL plans to award four (4) cooperative agreements, ranging from \$350,000 - \$500,000 per year for a 24-month project period, to address the following priority areas:

1. Self-Neglect
2. Forensic Centers
3. Abuse in Guardianship
4. Elder Abuse in Indian Country.

I. Funding Opportunity Description

Background

It is widely documented that research in the area of abuse, neglect, and exploitation of older adults and adults with disabilities is still in its early stages, with limited knowledge of risk and protective factors related to either victims or perpetrators, or about effective and evidence-based prevention, intervention, and remediation practices. Understanding of the phenomena of elder abuse and of adults with disabilities is decades behind our understanding of either child abuse or domestic violence. Further, it is well-established that abuse, neglect, and exploitation, referred to as abuse in this FOA, can have devastating consequences, including increased mortality, increases in occurrence and severity of chronic diseases, and the loss of savings and even homes. What is unknown about the phenomena includes the best ways to effectively screen for elder and other adult abuse; the best programs and practices to address it; and the best methods to effectively prevent it from occurring, or reoccurring.

In FY 2016, ACL is launching the “Elder Justice Innovation Grants” program. The purpose of the program is to support the development and advancement of new and emerging issues related to elder justice. Funded projects will contribute to the improvement of the field of elder abuse prevention and intervention at large, such as by developing materials, programs, etc. able to be widely disseminated and/or replicated, or by establishing and/or contributing to the evidence-base of knowledge.

Funding Opportunity

The Elder Justice Innovation Grants program will support foundational work to create credible benchmarks for elder abuse, neglect, and exploitation prevention and control, and for program development and evaluation. In FY 2016, the Elder Justice Innovations Grants program is targeting funds to the following four (4) priority areas: self-neglect, abuse in guardianship, elder abuse forensic centers, and elder abuse in Indian Country.

There are four (4) Options in this program announcement under which entities may apply for a cooperative agreement:

1. Self-Neglect
2. Forensic Centers
3. Addressing Abuse in Guardianship
4. Addressing Elder Abuse in Indian Country.

The following information is applicable to grantees under any of the Options.

A. Eligible Applicants

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply under this funding opportunity.

A single entity MAY apply for funding under multiple Options. A separate application must be submitted for each Option to which you are applying.

B. Applications for funding under any Option must clearly detail:

1. The specific issues or challenges to be explored/addressed,
2. What the applicant hopes to achieve with this funding,
3. Why the selected approach is likely to produce the most significant knowledge or impact over other, possible approaches,
4. What activities the applicant will undertake to accomplish the project’s goals and objectives, and
5. How the applicant will measure success.

C. Final Reports

HHS grants policy requires all recipients of grant funding to submit a final project report. In addition to this report, any grantee under the Elder Justice Innovation Grants program must submit to ACL a final report, document, or briefing paper that is of professional quality for dissemination and sharing that discusses the funded project, its results, and implications and suggestions for furthering the knowledge base on the topic addressed.

D. Evaluation

Applications must include a description of the method/s that will be employed to successfully measure whether or not the project has achieved its proposed outcome(s), as well as the overall goal for this funding opportunity. Grantee evaluations of their projects facilitate the government in assessing whether programs are effective in producing positive change. Therefore, ACL is committed to providing technical assistance to grantees with the refinement and carrying out of a project's evaluation plan. Technical assistance to the grantees will be provided primarily by ACL program staff via regular conference calls and email correspondence. Applicants should be prepared to include progress and information/data on the project's outcomes and the evaluation in semi-annual reports, and at other times as agreed upon by the grantee and ACL.

E. Rights in Data

ACL understands that the outcomes and results from these demonstration grants may be such that the awardee would like to publish an article or report on the project's results, or disseminate in some other public way. Per the [HHS Grants Policy Statement \(January 1, 2007\), page II-69](#): "In general, [grant] recipients own the rights in data resulting from a grant-supported project or program....[A]ny publications, data, or other copyrightable works developed under an HHS grant may be copyrighted without OPDIV prior approval." That is, grantees under this funding opportunity do not need to seek approval from ACL to publish reports, articles, or other material about their projects.

However, applicants should also note that Under 45 CFR §75.322(b), ACL reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use copyrightable works developed (or for which ownership was purchased) under this cooperative agreement for Federal purposes, and to authorize others to do so. The federal government right to such copyrightable works and data are explained further in the [HHS Grants Policy Statement](#). For this funding opportunity, this means that grantees may not withhold from ACL data or information produced from or by this project, including but not limited to outcome and evaluation data. At the conclusion of the grant period, the grantee must provide a final report that includes the data and materials produced by the grant.

Please Note: The [HHS Grants Policy Statement](#) defines "data" as "recorded information, regardless of the form or media on which it may be recorded, and includes writings, films, sound recordings, pictorial reproductions, drawings, designs or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other research data."

The four (4) sub-sections below describe each funding Option.

Option 1. Self-Neglect

The Older Americans Act defines self-neglect as:

“[An] adult’s inability, due to physical or mental impairment or diminished capacity, to perform essential self-care tasks including –

- (A) obtaining essential food, clothing, shelter, and medical care;
- (B) obtaining goods and services necessary to maintain physical health, mental health, or general safety; or
- (C) managing one’s own financial affairs.

Many APS agencies have a caseload comprised primarily of self-neglect cases. As a type of elder abuse, self-neglect is of particular interest because it is at the intersection of cognitive impairment, mental health, and physical functioning. Depression and dementia are associated risk factors for self-neglect, and self-neglect has been identified as an independent risk factor for death. [\[1\]](#),[\[2\]](#) Increased mortality, however, is not confined only to those with the most severe cognitive and physical impairments. Individuals with mild levels of cognitive and physical functional impairment also experience a substantially increased risk of death from self-neglect. [\[3\]](#) Strong social supports have been shown to slow the process of decline in older adults, and it is believed the lack of those supports is associated with elder self-neglect[\[4\]](#)

The purpose of the **Option 1. Self-Neglect** funding opportunity is to further our knowledge of the phenomenon of self-neglect. At a minimum, ACL expects that the information gathered through this project will result in suggestions for priority actions in three areas: research, practice, and policy to address self-neglect. ACL is interested in supporting a project with one of the following outcome objectives, and ACL will consider other, related objectives described by an applicant:

- Improved understanding of the population of people who self-neglect, including risk and protective factors for self-neglect, understanding what triggers the onset of self-neglect, and understanding the biological and psychosocial aspects and the impacts of self-neglect.
- Expanded knowledge about the responses by APS and other providers to self-neglect in terms of programs, policies, and practices, to include exploring interventions to prevent or address self-neglect, as well as identifying service infrastructures that can catch or prevent self-neglect.

Applications for funding under this Option must clearly detail:

1. The specific issues related to self-neglect to be explored/addressed through the proposal,
2. What the applicant expects to achieve with this funding,
3. What activities the applicant will undertake to accomplish the project’s goals and objectives,
4. Why the selected approach is likely to produce the most significant knowledge over other, possible approaches,
5. What deliverables will be produced from the project, and
6. How the applicant will measure success of the project.

In addition to the final grantee report and any other deliverables identified in the application, this funding opportunity requires that the grantee produce a final document or briefing paper that is of professional quality and that discusses the project, its results, and implications and suggestions for furthering the knowledge-base on self-neglect.

Under **Option 1. Self-Neglect**, ACL will fund one (1) cooperative agreement at up to \$500,000 per year, for a 24-month project period to carry out the goals of this funding opportunity. Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply under this funding opportunity. The successful applicant under **Option 1. Self-Neglect** will be an organization that meets the following responsiveness criteria:

1. Demonstrated knowledge concerning the causes, risk factors, and phenomena of abuse, neglect, and exploitation of older adults and adults with disabilities.
2. Demonstrated knowledge of the programs to prevent, detect, identify, assess, intervene in, investigate, and respond to abuse of older adults and adults with disabilities.
3. Demonstrated capacity and experience to design, plan, and execute projects that contribute to the scientific literature.
4. Provides a project director that has demonstrated expertise in criteria 1-3 above.

Option 2. Forensic Centers

Elder Abuse Forensic Centers (EAFC) can play a vital role in protecting vulnerable older Americans by strengthening the scientific, policy, and institutional aspects of the forensics of elder abuse, neglect and exploitation. In general, they serve as a focal point for analyzing complex cases of elder abuse by convening experts for the purpose of doing a forensic examination of open complex cases. Identifying and documenting the forensic markers of elder abuse when encountered by those in the medical and scientific fields is one focus of forensic centers. EAFCs also are conveners, and often are the locus for coordinated community response on a case-by-case basis. In EAFCs, various professionals fluidly and routinely collaborate across a broad array of different systems (medical, legal, and social services) to identify cases of elder abuse, review specifics of the case, promote prosecution where appropriate, and identify the appropriate legal course of action and service provision for cases. Each forensic center member provides a service for the given case within the constraints of their particular agency. Action plans are collectively developed and team members carrying out plans in a coordinated fashion.

Although forensic centers as a concept are not new, further analysis and exploration of EAFC models are still needed to promote their refinement and strengthening. EAFCs exist in a number of communities across the country, but there is yet to be a methodological review or comparison of the various models, their successes, and their outcomes. A number of replication and implementation guides have been created, but it is unknown how many communities have organized EAFCs using those guides, and the extent to which their model is consistent with or varies from the guide, and with what results. While these replication guides and the site-specific evaluations done to date have identified some of the following, a rigorous exploration of the Elder Abuse Forensic Center model is lacking and a number of questions still remain, such as:

- What differentiates a forensic center from other multidisciplinary team responses to elder abuse?
- What are the core components of EAFCs that must be in place for successful functioning, outcomes, and sustainability?
- What are desirable outcomes for EAFCs, and how could they be measured?
- What is the return on investment of EAFCs?

The purpose of the **Option 2. Forensic Centers** funding opportunity is to produce new data and improve decision-making about EAFC implementation. ACL seeks the following outcomes from this effort, and will consider other, related outcomes proposed by the applicant:

1. Increased evidence regarding the effectiveness, efficacy, and return on investment of EAFCs.
2. Improved knowledge about the core components of EAFCs and best practices in model implementation.
3. Increased ability to identify and measure EAFC outcomes.
4. Enhanced understanding of the feasibility of wide-spread replication of EAFCs.

At the conclusion of the project period, ACL expects the following deliverables, in addition to any other deliverables proposed by the applicant:

- Evidence regarding the efficacy, effectiveness, and return on investment of the EAFC model;
- A report, document, or briefing paper for dissemination that is of professional quality that discusses the funded project, the questions and hypotheses explored, project results, and implications and suggestions for furthering the knowledge base on and implementation of Elder Abuse Forensic Centers;
- A report or guide that is based on the work done on this project and analysis of existing elder abuse forensic centers that informs local communities on what is essential for establishing and maintaining an effective elder abuse forensic center, including, but not limited to, how to build organizational capacity to and how to develop effective partnerships among different disciplines to investigate and resolve cases.

Applications for this Option should clearly detail:

- The specific issues and questions about elder abuse forensic centers to be explored;
- The anticipated outcomes and results of the project;
- The activities to be carried out in pursuit of the outcomes;
- The deliverables that will be produced;
- How the proposed project builds on existing knowledge and efforts and adds value to what is known about EAFCs;
- Why the selected approach is likely to produce the most significant knowledge over other, possible approaches;
- How the applicant will measure success of the project.

Under **Option 2. Forensic Centers**, ACL anticipates awarding one (1) cooperative agreement at approximately \$500,000 per year, for a two (2) year project period, to carry out the goals of this funding opportunity. Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply under this funding opportunity. The successful applicant under **Option 2. Forensic Centers** will be an organization that meets the following criteria:

1. Demonstrated knowledge concerning the causes, risk factors, and phenomena of abuse, neglect, and exploitation of older adults and adults with disabilities.
2. Demonstrated knowledge of programs to identify, assess, intervene in, investigate, and respond to abuse of older adults and adults with disabilities.
3. Demonstrated experience working with multidisciplinary team responses to abuse, neglect, and exploitation of older adults and adults with disabilities.
4. Demonstrated capacity and experience to design, plan, and execute projects that contribute to the scientific literature.
5. Provides a project director that has demonstrated expertise in criteria 1-4 above.

Option 3. Addressing Abuse in Guardianship

Currently, state laws across the country provide for the court appointment of guardians/conservators to protect the personal and/or financial welfare of persons who are determined to be incapacitated. The appointment of a guardian/ conservator (who may be professionals or family members) typically means that the incapacitated person loses basic rights, such as the right to contract, vote, marry or divorce, buy or sell real estate, or make decisions about their medical care or finances. A guardian/conservator is given substantial authority over the lives of vulnerable persons, and such power has the potential for abuse in the absence of adequate oversight, as documented in a 2010 report by GAO that identified hundreds of allegations of physical abuse, neglect, and financial exploitation between 1990 and 2010. While a number of efforts aim to improve the quality and capacity of individual guardians, and thereby reduce the prevalence of abuse or misuse of guardianship, fewer efforts are underway to prevent or reduce the occurrence of unnecessary guardianship/conservatorship appointments in the first place.

The **Option 3. Addressing Abuse in Guardianship** funding opportunity will support activities to avoid unnecessary guardianship and prevent and address abuses within a state and/or local guardianship system through one or more of the following approaches:

- Establishment, expansion, or enhancement of multidisciplinary efforts to improve a state's guardianship system, such as through "Working Interdisciplinary Networks of Guardianship Stakeholders (WINGS)", and other similar approaches;
- Establishment, expansion, or enhancement of guardianship mediation and/or other guardianship diversion programs at the state or local level;
- Establishment, expansion, or enhancement of alternatives to guardianship at the state or local level, such as the "Supported Decision-Making" model.

As a result of this funding, ACL expects the grantee to develop, test, and implement replicable models that improve a state's or locality's guardianship system by facilitating protections that are less restrictive than guardianship. To achieve these innovative models, the grantee will be expected to advance partnership activities related to guardianship systems' enhancement efforts, which include, at a minimum, the involvement of State Courts and other appropriate entities that oversee guardians, conservators, or representative payees. With this funding, ACL expects the grantee to carry out activities, such as trainings, creating partnerships, or developing, implementing, and testing innovative approaches to avoiding guardianship/conservatorship, that improve the ability of state or local guardianship systems to enhance the independence, health, and safety of individuals that may need support in critical decision making.

Applications for funding under this Option must clearly detail:

1. The specific issues related to guardianship to be addressed;
2. What the applicant expects to achieve with this funding;
3. What activities the applicant will undertake to accomplish the project's goals and objectives;
4. The deliverables that will be produced;
5. Why the selected approach is likely to have the most significant impact in addressing abuse in guardianships over other, possible approaches; and
6. How the applicant will measure success of the project.

In addition to the final grantee report and any other deliverables identified in the application, this funding opportunity requires that the grantee produce a final document or briefing paper that is of professional quality that discusses the project, its results, and implications and suggestions for furthering the knowledge-base about reducing the incidence and prevalence of abuse in guardianship.

Under **Option 3. Addressing Abuse in Guardianship**, ACL will fund one (1) cooperative agreement at up to \$500,000 per year, for a 24-month project period to carry out the goals of this funding opportunity. Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply under this funding opportunity. The successful applicant under **Option 3. Addressing Abuse in Guardianship** will be an organization that meets the following criteria:

1. Demonstrated knowledge of abuse, neglect, and exploitation of older adults and adults with disabilities.
2. Demonstrated expertise in working with issues related to guardianships of older adults and adults with disabilities, state guardianship systems, and guardianship oversight systems and processes.
3. Demonstrated experience in defending against guardianship petitions, guardianship diversion programs, and alternatives to guardianship.
4. Demonstrated capacity and experience to design, plan, and execute projects of a similar nature and that contribute to the scientific literature.
5. Provides a project director that has demonstrated expertise in criteria 1-4 above.

Option 4. Addressing Elder Abuse in Indian Country

Although states and communities across the country have well-developed, long-standing policies and programs to address elder abuse, elder abuse in Indian Country does not have the benefit of dedicated funding and an established network to deal with it. Although existing literature and personal accounts by Indian elders and their families, tribes, and advocates suggest that it is a serious and pervasive problem, there is little in the literature about evidence-based interventions to prevent, expose, and eliminate elder abuse in Indian Country. A few, Tribal-specific studies have been conducted, resulting in an incomplete understanding of the nature, causes, consequences, and effective prevention and intervention activities with Tribal elders. The experiences of Indian elders with abuse, and their attitudes about what should be done to address it appear to differ from those of non-Indian elders, suggesting the need for new prevention strategies. A variety of efforts have identified the following concerns in Indian Country: insufficient infrastructure for investigating and responding to abuse; inadequate coordination between Tribal and non-Tribal entities in responding to allegations of abuse, neglect, and exploitation; and a widespread lack of community awareness, education, and training in all aspects of elder maltreatment.

With the **Option 4. Addressing Elder Abuse in Indian Country** funding opportunity, ACL is supporting the continued development of evidence-based information and practices on elder abuse prevention and response in Indian Country. This funding opportunity will support one (1) grantee to administer a “Tribal Mini-Grants” initiative to prevent, identify, and/or address elder abuse in Indian Country. The selected grantee is expected to award, through a competitive process, mini-grants to a tribal community-based organization to carry out specific activities to prevent, identify, and/or address elder abuse, neglect, or exploitation in their local community. Tribal Mini-Grants should range from \$10,000 to \$20,000 each per year, and the grantee must provide at least \$150,000 per year in mini-grants to tribal community-based organizations. The grantee under this Option will manage and provide technical assistance to the Tribal Mini-Grant recipients. As a result of this funding, ACL expects the grantee to have at least the following outcomes:

1. Fifty percent (50%) or more of the Tribal Mini-Grants result in measurable improvements in a Tribe's infrastructure, system, and/or ability or capacity to prevent, identify, or address elder abuse, neglect, and exploitation in Indian Country.
2. Information is produced to assist others in understanding the success, sustainability, and replicability of the tribal mini-grant projects and activities.

Applications for this Option should include a description of:

1. The elder abuse, neglect, or exploitation issues, challenges, and prevention or response activities in Indian Country that the applicant plans to address with this funding;
2. What the applicant expects to achieve with this funding;
3. What activities the applicant will undertake to accomplish the project's goals and objectives;
4. How the Tribal Mini-Grant competition will be conducted, including but not limited to how applications will be solicited, reviewed, and selected, (the request for proposals for the Tribal Mini-Grants should be submitted to ACL for approval within 90 days from the Notice of Award date);
5. The types, form, and frequency of technical assistance that the grantee will provide to the Tribal Mini-Grant recipients;
6. The proposed measures of success for the overall initiative;
7. Why the selected approach is likely to have the most significant impact in addressing elder abuse in Indian Country;
8. The deliverables that will be produced; and
9. How and at what intervals additional Tribal Mini-Grants will be awarded.

In addition to the final grantee report and any other deliverables identified in the application, this funding opportunity requires that the grantee produce a final document or briefing paper of professional quality for publication and dissemination that should serve to inform the field about the various approaches funded by the Tribal Mini-Grants to prevent, identify, and/or address elder abuse in Indian Country. The final report must describe, at a minimum:

1. The recipients of the mini-grant funding,
2. The objectives of each the funded mini-grant projects and how the projects were designed,
3. Challenges faced by each of the mini-grants and how they were addressed,
4. Each mini-grant project's outcomes,
5. Each mini-grant project's sustainability plan; and
6. Lessons learned from each of the mini-grant projects and suggestions for replication in other tribal communities.

Under **Option 4. Addressing Elder Abuse in Indian Country**, ACL will fund one (1) cooperative agreement at up to \$350,000 per year, for a 24-month project period to carry out the goals of this funding opportunity. **Please Note:** Technical assistance and support to the Tribal Mini-Grant recipients is an essential and core function of the Option 4 funding opportunity. Therefore, the Option 4 grantee may not charge the Tribal Mini-Grant recipients any fees or costs for mini-grant technical assistance and support, or other activities within the scope of the Tribal Mini-Grant Initiative project proposal as reviewed and

approved. Further, the Option 4 grantee may not pass on to the mini-grant recipients the federal match requirement. Please see Section "III.2: Cost Sharing or Matching" for more information.

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply under this funding opportunity. **Please Note:** This is an open competition for funding under this Option. However, the recipients of a Tribal Mini-Grant under this Option must be a local tribal entity or organization. The successful applicant under **Option 4. Addressing Abuse in Indian Country** will be an organization that meets the following criteria:

1. Demonstrated experience in developing or implementing culturally appropriate materials, activities, programs, etc. for American Indian, Alaskan Native, and Native Hawaiian peoples.
2. Demonstrated experience in the area of family and interpersonal violence in Indian Country, and ideally elder abuse, neglect, or exploitation in Indian Country.
3. Demonstrated experience providing effective technical assistance to multiple and various tribal entities.
4. Demonstrated experience with tribal statutes, code, and/or policy for elder abuse and family violence.
5. Demonstrated capacity and experience to design, plan, and execute projects of a similar nature and that contribute to the scientific literature.
6. Provides a project director that has demonstrated expertise in criteria 1-5 above.

[1] Lachs, M.A., Williams, C.S., O'Brien, S., Pillemer, K.A., Charlson, M.E. (1998). Mortality of Elder Mistreatment. *Journal of the American Medical Association*, 280(5), 428-432.

[2] Dyer, C.B., Pavlik, V.N., Murphy, K.P., & Hyman, D.J. (2000). The High Prevalence of Depression and Dementia in Elder Neglect. *Journal of the American Geriatrics Society*. 48(2), 2025-208.

[3] Dong X, Simon M, Mendes de Leon C, et al. Elder Self-neglect and Abuse and Mortality Risk in a Community-Dwelling Population. *JAMA*. 2009;302(5):517-526.

[4] Burnett J, Regev T, Pickens S, Prati LL, Aung K, Moore J, Dyer CB. (2006). Social networks: a profile of the elderly who self-neglect. *Journal of Elder Abuse and Neglect*. 2006; 18(4): 35-49.

Statutory Authority

The statutory authority for grants under this Program Announcement is contained in Sections 411 and 751 of the Older Americans Act, as amended, and Title XX of the Social Security Act, Subtitle B, Sections 2031 & 2042, as amended by the Affordable Care Act, Subtitle H – Elder Justice Act.

II. Award Information

Funding Instrument Type:	Cooperative Agreement
Estimated Total Funding:	\$1,850,000
Expected Number of Awards:	4
Award Ceiling:	\$500,000 Per Budget Period
Award Floor:	\$300,000 Per Budget Period
Average Projected Award Amount:	\$465,000 Per Budget Period
Length of Project Period:	24-month project with two 12-month budget periods

Under this competition, ACL will award approximately four (4) cooperative agreements ranging from \$350,000 - \$500,000 each, for a 24-month period, as follows:

- Option 1. Self-Neglect: Ceiling- \$500,000; Floor- \$400,000
- Option 2. Forensic Centers: Ceiling- \$500,000; Floor- \$400,000
- Option 3. Addressing Abuse in Guardianship: Ceiling- \$500,000; Floor- \$400,000
- Option 4. Addressing Elder Abuse in Indian Country: Ceiling- \$350,000; Floor- \$300,000.

The project period for all awards will be for two (2) years, and the budget period will be two (2), 12-month periods. Applications for continuation funding beyond the initial year will be reviewed on a non-competitive basis, subject to the availability of funds, contingent on satisfactory progress of the grantee, and a determination by ACL that continued funding will be in the best interest of the government.

Final award decisions will be made by the ACL Administrator and will be based on recommendations of the review panel (See Section V), reviews for programmatic and grants management compliance, geographic distribution, and the reasonableness of the estimated cost considering the available funding and anticipated results.

This is a cooperative agreement. ACL will be involved in the Grants to Enhance Adult Protective Services (described in Section I. Funding Opportunity Description) by participating in planning, implementation, and evaluation of grant activities, which will be determined jointly by ACL and the grantee. The cooperative agreement will include the following terms:

As provided by the terms of the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224), this Cooperative Agreement provides for the involvement and collaboration of ACL in activities that the recipient organization will carry out in accordance with the provisions of the approved grant award.

The grantee agrees to execute the responsibilities outlined below:

1. Fulfill all of the requirements of the grant initiative as outlined in this program announcement, including carrying out project activities as reviewed, approved, and awarded.
2. Collaborate with the Administration for Community Living (ACL) in the execution of the work plan, and collaborate with ACL in understanding the programmatic and budgetary issues of the project.
3. Evaluate the activities of the grants, and provide recommendations to ACL on ways to enhance the demonstration.
4. Meet with the ACL project officer at least once each month, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.
5. Produce products and/or materials under this award that are accurate, objective, unbiased, and of high professional quality, and that do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the ACL project officer a copy of the final product in order for the ACL project officer to have at least 15 business days to ensure the product meets the requirements set forth in the program announcement.
6. Include the following disclaimer on all products produced using grant funding:

"This (activity/report/document/etc.) was supported, in part, by a grant (No. 90-JIxxxx) from the Administration for Community Living, U.S. Department of Health and Human Services (DHHS).

Grantees carrying out projects under government sponsorship are encouraged to express freely their findings and conclusions. Therefore, points of view or opinions do not necessarily represent official Administration for Community Living or DHHS policy."

The ACL project officer agrees to execute the responsibilities outlined below:

1. Perform the day-to-day federal responsibilities of managing grants and will work with the grantee to ensure that the minimum requirements for the grant are met.
2. Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the grantee project, and, as necessary, negotiate with grantee to achieve a mutually agreed upon solution to any needs identified by the grantee or ACL.
3. Assist the grantee project leadership in understanding the policy concerns and/or priorities of ACL, the Department of Health and Human Services, and the federal government by conducting periodic briefings and by carrying out ongoing consultations. ACL will also share information with the grantee about other federally sponsored projects and activities relevant to the interests of the grantee and grantee activities.
4. Provide technical advice to the grantee related to the fulfillment of the goals and objectives of this grant.
5. Provide technical advice on grantee work products to ensure they are accurate, objective, unbiased, and of high professional quality, and that they do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the ACL project officer a copy of the final product, and within 15 business days, the ACL project officer will provide guidance and feedback on whether the product meets the requirements set forth in the program announcement.

Modifications: Once a cooperative agreement is in place, requests to modify or amend it or the work plan may be made by ACL or the awardee at any time. Modifications and/or amendments of the Cooperative Agreement or work plan shall be effective upon the mutual agreement of both parties, except where ACL is authorized under the Terms and Conditions of award, 45 CFR Part 75, or other applicable regulation or statute to make unilateral amendments. When an award is issued the cooperative agreement terms and conditions from the program announcement are incorporated by reference.

III. Eligibility Information

1. Eligible Applicants

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement: Yes

All options under this funding opportunity require a match. However, the match requirement for Options 1, 2, and 3 differ from Option 4, and are outlined below.

Funding Options 1, 2, and 3

Under Funding Option 1, 2, or 3, 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 (third party) 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.

Funding Option 4

Under Funding Option 4, ACL is using an "adjusted project total cost" for determining match. The *adjusted project total cost* excludes the funding distributed as mini-grants. Under Option 4, applicants should deduct the amount of funding that is proposed for Tribal Mini-Grants, and the remaining balance should be used to determine the *adjusted project total cost* for matching. ACL will fund no more than 75% of the *adjusted project total cost*, which means the applicant must cover at least 25% of the *adjusted project 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 *adjusted project 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 (third party) 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.

PLEASE NOTE: Under Option 4, applicants MAY NOT apply any match from the Tribal Mini-Grant recipients to the *adjusted project total cost* match requirement. That is, under Option 4 the applicant's match requirement MAY NOT be satisfied by any match from the Tribal Mini-Grant recipients. This does not exclude Option 4 grantee from proposing that the mini-grant recipients match any portion of the mini-grant.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications that do not meet the following responsiveness criteria for the Option under which they are applying will be administratively eliminated and will not be reviewed.

The successful applicant under **Option 1. Self-Neglect** will be an organization that meets the following responsiveness criteria:

1. Demonstrated knowledge concerning the causes, risk factors, and phenomena of abuse, neglect, and exploitation of older adults and adults with disabilities.
2. Demonstrated knowledge of the programs to prevent, detect, identify, assess, intervene in, investigate, and respond to abuse of older adults and adults with disabilities.
3. Demonstrated capacity and experience to design, plan, and execute projects that contribute to the scientific literature.
4. Provides a project director that has demonstrated expertise in criteria 1-3 above.

The successful applicant under **Option 2. Forensic Centers** will be an organization that meets the following responsiveness criteria:

1. Demonstrated knowledge concerning the causes, risk factors, and phenomena of abuse, neglect, and exploitation of older adults and adults with disabilities.
2. Demonstrated knowledge of programs to identify, assess, intervene in, investigate, and respond to abuse of older adults and adults with disabilities.
3. Demonstrated experience working with multidisciplinary team responses to abuse, neglect, and exploitation of older adults and adults with disabilities.
4. Demonstrated capacity and experience to design, plan, and execute projects that contribute to the scientific literature.
5. Provides a project director that has demonstrated expertise in criteria 1-4 above.

The successful applicant under **Option 3. Addressing Abuse in Guardianship** will be an organization that meets the following responsiveness criteria:

1. Demonstrated knowledge of abuse, neglect, and exploitation of older adults and adults with disabilities.
2. Demonstrated expertise in working with issues related to guardianships of older adults and adults with disabilities, state guardianship systems, and guardianship oversight systems and processes.
3. Demonstrated experience in defending against guardianship petitions, guardianship diversion programs, and alternatives to guardianship.
4. Demonstrated capacity and experience to design, plan, and execute projects of a similar nature and that contribute to the scientific literature.
5. Provides a project director that has demonstrated expertise in criteria 1-4 above.

The successful applicant under **Option 4. Addressing Abuse in Indian Country** will be an organization that meets the following responsiveness criteria:

1. Demonstrated experience in developing or implementing culturally appropriate materials, activities, programs, etc. for American Indian, Alaskan Native, and Native Hawaiian peoples.

2. Demonstrated experience in the area of family and interpersonal violence in Indian Country, and ideally elder abuse, neglect, or exploitation in Indian Country.
3. Demonstrated experience providing effective technical assistance to multiple and various tribal entities.
4. Demonstrated experience with tribal statutes, code, and/or policy for elder abuse and family violence.
5. Demonstrated capacity and experience to design, plan, and execute projects of a similar nature and that contribute to the scientific literature.
6. Provides a project director that has demonstrated expertise in criteria 1-5 above.

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 Abstract, Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit.
4. Letters of Commitment are included for agencies/organizations specifically named to carry out any aspect of the project, other than the applicant. The letters of commitment are on the letterhead of the committing agency, details the specific role and resources/activities that will be provided in support of the applicant's project, and are signed.

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.

Please note, ACL is requiring applications for all announcements to be submitted electronically through <http://www.grants.gov>. The Grants.gov (<http://www.grants.gov>) registration process can take several days. If your organization is not currently registered with <http://www.grants.gov>, please begin this process immediately. **For assistance with <http://www.grants.gov>, please contact them at support@grants.gov or 1-800-518-4726 between 7 a.m. and 9 p.m. Eastern Time.**

- At 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 (<http://fedgov.dnb.com/webform/>) and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Applicants should 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.
- 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: Once your SAM registration is active, you will need to allow 24 to 48 hours for the information to be available in Grants.gov before you can submit an application through Grants.gov. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award.

- **Note:** Failure to submit the correct 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 to submit 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 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.

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

- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. It is entered on the SF 424. It is a unique, **nine-digit identification number**, which provides unique identifiers of single business entities. The DUNS number is *free and easy* to obtain.
- Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link to access a guide: http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf.
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.

- **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>.

U.S. Department of Health and Human Services

Administration for Community Living

Stephanie Eliason

Center for Program Operations, Office of Elder Justice & Adult Protective Services

Phone Number: (202) 795-7467

E-mail: stephanie.whittiereliason@aoa.hhs.gov

2. Content and Form of Application Submission

Letter of Intent

Letter of Intent

Due Date for Letter of Intent: **05/19/2016**

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

Office of Elder Justice and Adult Protective Services

ATTN: Stephanie Whittier Eliason

Email: stephanie.whittiereliason@acl.hhs.gov

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 maximum page-length allowed for the Project Narrative is 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. The Project Abstract, Bibliography, Project Work Plan, Letters of Commitment, Vitae of Key Personnel, and Budget Narrative/Justification 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 suggested outline of the Project Narrative follows, and is consistent with the Screening Criteria found in Section V.1 below:

- Project Abstract (not counted towards the 20-page Narrative limit)

I. Project Relevance and Current Need

II. Approach

III. Outcomes and Evaluation

IV. Organizational Capacity

V. Bibliography/Works Cited

- Budget Narrative/Justification (not counted towards the 20-page Narrative limit)

Project 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.”

The Project Abstract is not counted as part of the 20-page limit.

I. Project Relevance and Current Need

This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposal is designed to address. Describe the current short-comings and challenges that need to be addressed for the Option for which you are applying. Strong applications will demonstrate that the proposed project justified in terms of the most recent, relevant, and available information and knowledge, best practices, and/or new and cutting-edge research.

II. Approach

This section should include the following types of information:

Goals & Objectives

Applications should describe the project’s goal(s) and major objectives. Unless the project involves multiple, complex interventions, we recommend you have only one overall goal. Goals and objectives in the application should be consistent with the goals and objectives of the overall funding opportunity, as well as with those identified in the Option for which you are applying.

Proposed Intervention

Applications should provide a clear and concise description of the intervention proposed to address the problem described in the section “Project Relevance and Current Need.” Applications should explain the rationale for using a particular intervention and present a clear connection between identified system gaps/needs and the proposed activities. At a minimum, proposals should address the specific elements included in the "Funding Opportunity Description" under the Option for which they are applying.

Additionally, this section should identify any major barriers that are anticipated, and how the project will be able to overcome those barriers.

Special Targeted Populations

Applicants should describe whether, and if so, how, the proposed intervention will target disadvantaged populations, including limited-English speaking populations, those of greatest economic need, and those of greatest social need. Additionally, the application should identify what stakeholder groups will be involved and/or targeted to ensure success and sustainability of the project. Be sure to describe the role and makeup of any strategic partnerships that will be critical for successfully implementing the intervention, including other organizations, supporters, and/or consumer groups.

Dissemination of Project Results

In addition to the required final report/document/briefing paper, please describe the other methods 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.

III. Outcomes and Evaluation

Outcomes

This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. This section should include the outcomes that ACL has identified for the Option for which you are applying, as well as any additional or more specific outcomes being sought. Please note that applications will be scored on the clarity and nature of the proposed outcomes, not on the number of outcomes cited.

NOTE: ACL will not fund any project that does not include measurable outcomes. In addition to the discussion in the narrative, list measurable outcomes in the optional work plan grid ("Project Work Plan – Sample Template") under "Measurable Outcomes."

Evaluation

Applications must include a description of the method/s that will be employed to successfully measure whether or not the project has achieved its proposed outcome(s), as well as the overall goal for this funding opportunity. This section should describe the method(s), techniques, and tools that will be used to: 1) determine whether or not the project achieved its anticipated outcome(s), and 2) document the "lessons learned" – both positive and negative - from the project.

IV. Organizational Capacity

Organizational Capacity

Each application should include an organizational capability statement. 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. If appropriate, include an organization chart showing the relationship of the project to the current organization. An organization chart can be included as an attachment to the project narrative and will NOT count towards the narrative page limit.

This description should cover capabilities, current or previous relevant experience, and/or the record of the

project team. Include information about any contractual organization(s) or persons that will have a significant role(s) in implementing the project and achieving project goals. Please attach short vitae for key project staff only. Vitae can be included as an attachment and will NOT count towards the narrative page limit.

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.

ACL expects that, throughout the grant period, the Project Director will have involvement in, and substantial knowledge about, all aspects of the project. In addition, ACL expects the applicant organization to be meaningfully and substantively involved in the project, and that this funding opportunity does not serve as a "conduit" or "pass through" for funding.

V. Bibliography/Works Cited

Applicants must document all of their source material. If any text, language and/or materials are from another source, the applicant must make it clear the material is being quoted and where the text comes from.

The applicant must also cite any sources when they obtain numbers, ideas, or other material that is not their own. If the applicant fails to comply with this requirement, regardless of the severity or frequency of the plagiarism, the reviewers shall reduce their scores accordingly even to the degree of issuing no points at all.

Applications may attach a "Bibliography" or "Works Cited" section to the end of the project narrative to cite sources properly. The bibliography must only contain bibliographic information for sources cited in the Project Narrative. This section will not count towards the 20-page. Any entry in the bibliography that is not a source citation, such as an explanatory note, will be removed.

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. 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.

Because the proposal must demonstrate a clear and strong relationship between the stated objectives, project activities, and the budget, a narrative budget justification should be included and summarize the cost estimated per proposed project, activity, or product. This budget justification is helpful in assessing the reasonableness of the type and amount of work that is planned and what the applicant expects for the overall cost.

Project Work Plan

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover all two (2) 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.

Letters of Commitment from Key Participating Organizations and Agencies

Letters of Commitment are ONLY required IF an organization or entity has been specifically named to carry out any aspect of the project. The letters of commitment must be on the letterhead of the committing agency, must specify the role and resources/activities that will be provided in support of the applicant's project, and must be signed. The organization's expertise, experience, and access to the targeted population(s) should also be described in the letter of commitment.

Applicants may submit "Letters of Support," but they will not substitute for "Letters of Commitment"

Letters of Support are letters that are general in nature that speak to the writer's belief in the capability of an applicant to accomplish a goal/task. Letters of support also may indicate an intent or interest to work together in the future, but they lack specificity, and/or the agency is not identified by the workplan as a core/key partner or collaborator. Letters of Support are NOT required.

For applications submitted electronically via <http://www.grants.gov>, signed letters of commitment and/or letters of support 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 202-205-0402 by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

3. Submission Dates and Times

Due Date for Applications: **06/20/2016**

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

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

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

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

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

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

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>.

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

- *Meals are generally unallowable except for the following:*
 - *For subjects and patients under study (usually a research program);*
 - *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., 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

Letters of intent should be emailed to:

Stephanie Whittier Eliason

Email: stephanie.whittiereliason@acl.hhs.gov

V. Application Review Information

1. Criteria

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

- A. Project Relevance & Current Need
- B. Approach
- C. Project Outcomes, Evaluation, & Impact
- D. Organizational Capacity
- E. Budget
- F. Bibliography/Works Cited

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

Project Relevance & Current Need

Maximum Points:20

Is the proposal relevant to the intent and goals of this funding announcement and the Option for which they are applying, as described in Section 1? Does the proposed project clearly and adequately identify the short-comings and challenges that need to be addressed for the Option for which they are applying? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge about violence prevention and intervention, best practices, and/or new and cutting-edge research?

Approach

Maximum Points:40

Is the intervention clearly defined? Does the application justify the selected/proposed activities and approach? Does the application describe how the proposed activities will be carried out? Does the proposal reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcomes, including those identified by ACL in the "Funding Opportunity Description"? Does the project take into account barriers and opportunities that exist in the larger environment that may impact the project's success?

Is the project work plan clear and comprehensive? Does it include sensible and feasible timeframes for

the accomplishment of tasks presented? Does the work plan include specific objectives and tasks that link to measurable outcomes? Does the proposal include a clear and coherent management plan? Are the roles and responsibilities of project staff, consultants, and partners clearly defined and linked to specific objectives and tasks?

Does the application include disadvantaged populations, including limited-English speaking populations in its target population? Does the proposed approach identify and involve in a meaningful way stakeholder groups that are critical for the success and sustainability of the project? If community-based organizations will be involved, does the application demonstrate that the organization/s will be involved in a meaningful way in the planning and implementation of the proposed project?

Will the dissemination plan get relevant and easy to use information in a timely manner to parties that might be interested in making use of its findings, particularly to those who might want to replicate the project?

Project Impact

Maximum Points:15

Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the project, as well as with the funding opportunity and the Option for which they are applying? 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 of elder abuse, neglect, and exploitation as a whole? Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in “Project Work Plan – Sample Template?”

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

Organizational Capacity

Maximum Points:10

Does the applicant organization clearly identify their capacity for carrying out the proposed project and evaluation? Do the proposed project director(s), key staff, and consultants have the background, experience, and other qualifications required to carry out their designated roles? Is the applicant agency significantly and meaningfully involved in the project activities? 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?

Budget

Maximum Points:15

Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items clearly delineated and consistent with work plan objectives (i.e., a clear and strong relationship between the stated objectives, project activities, the work expected to be performed, and what it will cost)? 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? Is a two (2) year budget included that covers the entire proposed project period, as well as a budget covering each individual year?

Bibliography/Works Cited

Maximum Points:0

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

2. Review and Selection Process

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

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

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

3. Anticipated Announcement Award Date

The anticipated award date is on or around August 15, 2016, with an estimated project start date of September 1, 2016.

VI. Award Administration Information

1. Award Notices

Successful applicants will receive an electronic Notice of Award. The Notice of Award is the authorizing document from the U.S. Administration for Community Living authorizing official, Office of Grants Management. Acceptance of this award is signified by the drawdown of funds from the Payment Management System. Unsuccessful applicants are generally notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail 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 75 and the Standard Terms and Conditions, included in the Notice of Award as well as implemented through the HHS Grants Policy Statement.

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.

Other Administrative and National Policy Requirements

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

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

VII. Agency Contacts

Project Officer

U.S. Department of Health and Human Services
Administration for Community Living
Office of Elder Justice and Adult Protective Services
Stephanie Whittier Eliason
Phone: (202) 795-7467
E-mail: stephanie.whittiereliason@acl.hhs.gov

Grants Management Specialist

U.S. Department of Health and Human Services
Administration for Community Living
Office of Grants Management
Sean Lewis
Phone: (202) 795-7384
E-mail: sean.lewis@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.

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).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

17. **Proposed Project Start and End Dates:** (REQUIRED) Enter the proposed start date and final end date of the project. **If you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.** In general, all start dates on the SF424 should be the 1st of the month and the end date of the last day of the month of the final year, for example 7/01/2014 to 6/30/2017. The Grants Officer can alter the start and end date at their discretion.

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

NOTE: Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 75 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the total project period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd 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 projects total cost, which means the applicant must cover at least 25% of the projects 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 projects 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:

FederalFundsRequested*MatchPercentage = Minimum Match Requirement

Inverse Match Percentage

Examples of varying match levels:

1) \$100,000(federalfundsrequested)*5%(match) = \$5,263

95%

2) \$100,000*25%(match) = \$33,333

75%

3) \$100,000*35%(match) = \$53,846

65%

4) \$100,000*45%(match) = \$81,818

55%

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

19. Is Application Subject to Review by State Under Executive Order 12372 Process? Please refer to IV. Application and Submission Information, 4. Intergovernmental Review to determine if the ACL program is subject to E.O. 12372 and respond accordingly.

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

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

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

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total nonFederal 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 Part 75 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

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

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

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

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

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

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

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

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

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

c. Standard Form 424B – Assurances (required)

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

d. Certification Regarding Lobbying (required)

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

Proof of 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.

Budget Narrative/Justification - Sample Format

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

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	\$47,700	\$23,554	\$0	\$71,254	Federal Project Director (name) = .5 FTE @ \$95,401/yr = \$47,700 Non-Fed Cash Officer Manager (name) = .5FTE @ \$47,108/yr = \$23,554 Total 71,254
Fringe Benefits	\$17,482	\$8,632	\$0	\$26,114	Federal Fringe on Project Director at 36.65% = \$17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) Non-Fed Cash Fringe on Office Manager at 36.65% = \$8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)
Travel	\$4,707	\$2,940	\$0	\$7,647	Federal Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles \$2,457 Lodging: 15 days @ \$110/day

					<p>\$1,650</p> <p>Per Diem: 15 days @ \$40/day</p> <p>\$600</p> <p>Total</p> <p>\$4,707</p> <p>Non-Fed Cash</p> <p>Travel to National Conference in (Destination) for 3 people</p> <p>Airfare 1 RT x 3 staff @ \$500</p> <p>\$1,500</p> <p>Lodging: 3 days x 3 staff @ \$120/day</p> <p>\$1,080</p> <p>Per Diem: 3 days x 3 staff @ \$40/day</p> <p>\$360</p> <p>Total</p> <p>\$2,940</p>
Equipment	\$10,000	\$0	\$0	\$10,000	<p>No Equipment requested OR: Call Center Equipment Installation =</p> <p>\$5,000</p> <p>Phones =</p> <p>\$5,000</p> <p>Total</p> <p>\$10,000</p>
Supplies	\$3,700	\$5,670	\$0	\$9,460	<p>Federal</p> <p>2 desks @ \$1,500</p> <p>\$3,000</p> <p>2 chairs @ \$300</p> <p>\$600</p> <p>2 cabinets @ \$200</p> <p>\$400</p> <p>Non-Fed Cash</p> <p>2 Laptop computers</p> <p>\$3,000</p> <p>Printer cartridges @ \$50/month</p> <p>\$300</p> <p>Consumable supplies (pens, paper, clips etc...) @ \$180/month</p> <p>\$2,160</p> <p>Total</p> <p>\$9,460</p>
Contractual	\$30,171	\$0	\$0	\$30,171	<p>(organization name, purpose of contract and estimated dollar amount)</p> <p>Contract with AAA to provide respite services:</p> <p>11 care givers @ \$1,682 =</p> <p>\$18,502</p> <p>Volunteer Coordinator =</p>

					<p style="text-align: right;">\$11,669</p> <p>Total</p> <p style="text-align: right;">\$30,171</p> <p><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 will be submitted by (date), when contract is made.</i></p>
Other	\$5,600	\$0	\$5,880	\$11,480	<p>Federal 2 consultants @ \$100/hr for 24.5 hours each = \$4,900 Printing 10,000 Brochures @ \$.05 = \$500 Local conference registration fee (name conference) = \$200 Total \$5,600</p> <p>In-Kind Volunteers 15 volunteers @ \$8/hr for 49 hours = \$5,880</p>
Indirect Charges	\$20,934	\$0	\$0	\$20,934	<p>21.5% of salaries and fringe = \$20,934</p> <p>IDC rate is attached.</p>
TOTAL	\$140,294	\$40,866	\$5,880	\$187,060	

Budget Narrative/Justification - Sample Template

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

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

TOTAL					
-------	--	--	--	--	--

Project Work Plan - Sample Template

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

Goal:

Measurable Outcome(s):

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

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

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

Instructions for Completing the Project Summary/Abstract

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

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

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

Outcomes - measurable results of a project. Positive benefits or negative changes, or measurable characteristics 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.