



Administration for Community Living

Administration on Aging

Lifespan Respite Care Program: State Program Enhancement Grants - Reposting Opportunity to
Apply

HHS-2021-ACL-AOA-LRLI-0115

08/23/2021

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ACL Center:

Administration on Aging

Funding Opportunity Title:

Lifespan Respite Care Program: State Program Enhancement Grants - Reposting Opportunity to Apply

Funding Opportunity Number:

HHS-2021-ACL-AOA-LRLI-0115

Primary CFDA Number:

93.072

Due Date for Letter of Intent:

08/07/2021

Due Date for Applications:

08/23/2021

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

Executive Summary
Additional Overview Content/Executive Summary

The U.S. Administration for Community Living (ACL) is providing this new competitive funding opportunity to all states that have either previously received and completed a full three year initial Lifespan Respite Grant , or who will be completing the third year of a three-year initial, Lifespan Respite Grant to new States grant program in August 2021.

Eligible states include Arizona, Connecticut, Delaware, District of Columbia, Florida, Hawaii, Idaho, Iowa, Kansas, Louisiana, Maryland, Massachusetts, Minnesota, Mississippi, Nebraska, Nevada, New Hampshire, New Jersey, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Utah, Washington, and Wisconsin.

ACL expects to fund up to two (2) cooperative agreements, with a federal funding level of up to \$275,000 each year for 5-years, for a potential maximum funding of \$1,375,000 over the course of the 5-year project period. PLEASE NOTE: this funding structure differs from previous years in that the project period is being increased to 5-years, rather than 3-years.

Eligible state applicants will use grant funds to enhance the provision of direct services, as described in the Lifespan Respite Care Act of 2006, as amended (The Act) – (P.L. 190-442 and P.L. 116-324). Eligible state applicants funded under this funding opportunity shall also use grant funds to provide respite services through their statewide Lifespan Respite Care system. Additionally, funded applicants will continue to build collaborations and partnerships across the state; expand options for volunteers; ensure adequate respite provider training is offered; identify gaps in current services and conduct outreach to reduce those gaps; and continue to, or increase efforts to, target underserved populations across the lifespan.

Grantees will be expected to build on advancements made under previous Lifespan Respite Care Program grants and focus on enhancing and strengthening the components of their Lifespan Respite Care System to improve equitable access, consistency, quality, sustainability; and reducing duplication in respite service delivery. Grantees will also be expected to describe the progress that has been made to date, and then identify opportunities to enhance their lifespan respite system of care, within the construct of The Act, to enhance and expand the continued provision of respite and related supports to family caregivers across the lifespan. Applicants are expected to propose systems-level, programmatic-level AND consumer-level outcomes and describe how these outcomes will be measured and tracked.

This is expected to be a highly competitive opportunity. Only those applicants demonstrating the greatest likelihood of making measurable advances in enhancing and/or expanding a statewide system of respite care that builds the capacity of their long-term care system to respond to the comprehensive needs of their residents will be selected for funding.

I. Funding Opportunity Description

Purpose

The U.S. Administration for Community Living (ACL) is providing this new competitive funding announcement opportunity to assist eligible state agencies in further implementing requirements of the Lifespan Respite Care Act of 2006, as amended (The Act) – (P.L. 109-442 and P.L. 116-324). The Act requires grantees to focus on expanding and enhancing respite care services to family caregivers across the lifespan; improving the statewide dissemination and coordination of respite care, and providing, supplementing, or improving access and quality of respite care services to family caregivers, thereby reducing family caregiver strain.

The Act defines respite care as, "...planned or emergency care provided to a child or adult with a special need in order to provide temporary relief to the family caregiver of that child or adult." In

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

Successful applicants will be required to enhance or expand state and local coordinated Lifespan Respite Care systems to serve family caregivers regardless of the age, disability or chronic condition of the care recipient. Grantees will also be required to develop and provide new and emergency respite services; train and recruit respite workers, including volunteers; and assist caregivers in gaining access to respite care services that meet the needs of both the caregiver and care recipient.

Eligible respite recipients include adult family members (including grandparents, of any age, and other relatives who are primary caretakers of children or adults with special needs), foster parents, or others providing care to children who require assistance beyond that required to meet the basic needs of the child and unpaid care to adults who require care to meet basic needs or prevent injury. Further, all programs must, from the outset, address the respite needs of *all* populations regardless of the age and/or disability/special needs of the care recipient population. No phase-in or preference for specific age groups or disability categories will be permitted.

State agencies eligible to receive funding under The Act must have the ability to work with State and community-based organizations; understand respite care and family caregiver issues across all age groups, disabilities, and chronic conditions; and have the capacity to ensure meaningful involvement of family members, family caregivers, and care recipients.

Background - The Lifespan Respite Care Act – Overview

The Act is intended to accomplish several objectives, as follows:

1. Respite is often in short supply or inaccessible to people of all ages and disabilities, the Act seeks to expand and enhance equitable respite services within each state;
2. Multiple respite programs are often funded through a variety of sources within each state. The Act is designed to improve coordination and dissemination of service delivery between the various programs, thereby minimizing duplicative programs and services;
3. Consumers often have trouble navigating the multiple respite programs that might exist in a state or community. A Lifespan Respite Program is intended to reduce the difficulties consumers experience with accessing and navigating respite programs and services; and
4. By expanding and enhancing respite services, and improving coordination and access, the Act is designed to improve the overall quality of the respite services currently available.

Rather than supplant, replace, or duplicate Federal, state, local and private respite care development and funding activities, the Act is intended to facilitate coordination between programs, reduce duplication of effort, and assist in the development of respite care infrastructure at the state and local levels. The implementation of the Act should improve the delivery and quality of respite services available to families across age and disability spectrums, by establishing coordinated lifespan respite systems.

A state lifespan respite care system brings together an array of public or private nonprofit statewide respite care coalitions or organizations, which includes aging and disability resource centers. With this in mind, grantees will be required to enhance existing lifespan respite care programs and partnerships by furthering their efforts to sustain a statewide systemic level of respite care.

The Evolving Respite Environment

Lifespan Respite Programs have been in existence in states since the 1990's. Several state lifespan respite care programs came into existence through state legislation while others relied on the commitments and activities of a dedicated group of volunteers to implement a program without authorizing legislation. The early efforts by states helped to create community-based networks of local partnerships, including family caregivers, providers, state and federally funded programs, area agencies on aging, non-profit organizations, health services, local businesses and faith-based organizations all working to ensure capacity of available respite and related services. These programs were the precursors to the Federal program created in 2006 with the passage of the Lifespan Respite Care Act.

Since the passage of the 2006 Act, states have made considerable progress towards building sustainable programs capable of meeting the respite care needs of families and family caregivers across the lifespan. As evidenced by the coronavirus pandemic, respite programs must continue to evolve to changing needs and circumstances of caregivers and care recipients. The impact of the COVID-19 virus on all communities, across all age groups, affected every state's delivery of respite services. Due to the pandemic, states coalitions had to look to other forms, or means, of service delivery, such as allowing the reimbursement of family or friends for respite services or the provision of virtual support groups, outreach, and even, respite care.

With the passage of the "Recognize, Assist, Include, Support, and Engage Family Caregivers Act of 2017 (RAISE Family Caregivers Act) and the formation of the Family Caregiving Advisory Council, which first convened in August 2019, focus on respite has grown. Based on the work of the Family Caregiving Advisory Council (FCAC) to date, there is an emerging opportunity for states to re-think their respite systems. The FCAC will develop a National Family Caregiving Strategy that will, among other things, focus on respite. It is anticipated that the National Strategy will afford states and communities ample opportunities to re-envision their respite programs and services.

Finally, over time, more has been learned about providing services that meet the cultural needs of caregivers and care recipients. Applicants should discuss how they will promote equity through service access and provision of culturally competent services.

Applicants to this funding opportunity are encouraged to read the text of the Lifespan Respite Care Act of 2006 and the Lifespan Respite Reauthorization Act of 2020 in its entirety, including the committee report accompanying the legislation. Full text of the 2006 Act may be found at: <https://www.congress.gov/109/plaws/publ442/PLAW-109publ442.pdf>. Full text of the Lifespan Respite Reauthorization Act of 2020, which was signed into law on January 5, 2021, may be found at <https://www.congress.gov/116/bills/hr8906/BILLS-116hr8906enr.pdf>.

Applicants should be aware that this is a highly competitive funding opportunity. Only those applications deemed to show the greatest likelihood of building upon previous advancements made toward sustainable lifespan respite care programs that focus on a sustained systemic approach will be selected for funding.

Program Priority Areas

The overarching goal of this funding opportunity is to enhance state systems and capacities to deliver respite care and related services to family caregivers of adults or children with disabilities. With this in mind, applicants should describe their current capacity and outline a strategy for building or strengthening the systemic infrastructure necessary to address gaps in, and assure consistent provision of, respite care services statewide. Applicants are also encouraged to discuss any objectives related to the development or strengthening of a policy framework aimed at furthering the long-term continuation and support of statewide respite care service provision. Applicants will also be expected to propose consumer, programmatic and systems level outcomes and describe how these outcomes will be measured and tracked for the people they will serve.

To be competitive, applicants should fully describe their proposed approaches for advancing their State Lifespan Respite Systems, with particular attention to the following Program Priority Areas:

1. Direct service provision, incorporating the lessons learned from the COVID-19 pandemic where appropriate;
2. Continued systems development;
3. Strengthened collaborations and partnerships ;
4. Paid and volunteer respite provider training;
5. Identification and reduction of gaps in current services; and
6. Targeting underserved populations, across the lifespan, with particular emphasis on addressing those most impacted by COVID-19.

1. *Direct service provision, incorporating the lessons learned from the COVID-19 pandemic where appropriate*

The Lifespan Respite Care Act stipulates the provision of five required and three optional services. Application narratives should clearly and completely describe the State agency's plan for further developing and delivering each of the required and, where appropriate, optional services in a way that considers the available evidence, emerging strategies, and promising practices in the field of respite to expand capacities and deliver direct services. For more information on emerging, model, or promising practices in the field of respite and family caregiver support, applicants should review information available on the ARCH National Respite Network and Resource Center website at <https://archrespite.org/ta-center-for-respite/>

Based on the knowledge and understanding of the state's current respite environment, applicants are required to provide detailed plans for how respite services funded under this opportunity will be delivered over the entire length of the project. Proposals must provide sufficient detail so as to

describe how funds will be allocated across all eligible population groups; how funds will flow to service recipients; the service delivery model and/or payment mechanism(s) that will be used; and how the investment in respite services will inform policy development and strategies to increase access to respite services beyond the life of the grant.

States should determine the proportion of their requested funds that will be used for developing a Lifespan Respite System and the proportion of requested funds that will be used for direct service provision over the entire 5-year project period. Applicants should propose to both further develop their Lifespan Respite Care System and fill gaps in respite service provision.

Because of the ongoing and anticipated impacts of the COVID-19 pandemic, applicants should view this as an opportunity to modify and further adapt their respite programs to be responsive to, or test new means of, providing services in multiple environments, based on lessons learned from the COVID-19 pandemic. As such, applicants are encouraged, but not required, to consider other forms, or means, of service delivery, such as allowing the reimbursement of family or friends for respite services or the provision of virtual support groups, outreach, and even, respite care to meet current needs as well as prepare for the ongoing provision of respite services in case of future emergencies or disaster situations. Applicants are encouraged to review and consider the recommendations in the resource developed by ACL's Lifespan Respite Technical Assistance and Resource Center titled, "[Providing and Receiving Respite Care Safely During the COVID-19 Pandemic: Voluntary National Guidelines for Respite Care Agencies, Providers, Family Caregivers, and Respite Care Recipients](#)"

2. Continued systems development

Applicants should describe in detail their objectives for systemically advancing existing lifespan respite care services statewide, with a focus on the following areas:

- a. Capacity building of respite care providers (both paid and unpaid);
- b. Leveraging of resources across various funding streams and partners to sustain and expand available respite care services;
- c. Implementation of key administrative functions (including logistical, information technology, communications, operational, and service coordination activities); and
- d. Ongoing monitoring and quality assurance of respite care service provision.

Through this funding announcement, ACL expects to realize tangible, measurable and sustainable advancements in state capacities to provide respite and related services to family caregivers across the age and disability spectrum. Applications will be evaluated, in part, on the extent to which a plan for the project's sustainability beyond the period of Federal funding is articulated and appears feasible. Applicants are encouraged to consider and propose a range of potential approaches for ensuring sustainability of project efforts once Federal funding has ended. Tools and resources for the sustainability of Lifespan Respite Programs are available on the ARCH National Respite Network and Resource Centers' web site, https://lifespanrespite.wildapricot.org/Sustainability_Tools.

Applicants are strongly encouraged to consider including any objectives related to policy development that would support or sustain the continuation of lifespan respite care services beyond the project period. Furthermore, applicants should be mindful of the emerging

opportunity to re-think their respite systems, based on the work of the Family Caregiving Advisory Council (FCAC) to date. Once the FCAC develops the National Family Caregiving Strategy that will, among other things, focus on respite, grantees will be afforded opportunities to re-envision their respite programs and services.

3. ***Strengthened collaborations and partnerships***

Among those states eligible to apply for funding, there exists a great deal of variability with respect to stakeholder capacities, engagement, and active collaboration. Partnership, collaboration and stakeholder involvement are critical underpinnings of a successful statewide Lifespan Respite Care Program. Whether these partnerships are facilitated by the state agency, the statewide respite coalition/organization, the state aging and disability resource center or through collaborative efforts of multiple stakeholders, having the broadest possible array of stakeholders involved is essential for ensuring the needs of family caregivers.

Applicants funded under this funding opportunity must propose approaches for expanding collaboration and partnerships with relevant stakeholders to ensure the program reaches the broadest population of eligible services recipients possible. Potential stakeholders include:

- a. Entities of state and local government that administer and deliver human services programs designed to meet the respite care needs of family caregivers;
- b. State and local chapters of organizations and entities representing individuals with special needs from across the disease and disability spectrum and for whom respite is an essential component of their ongoing support in a community setting;
- c. Any other public, private, or not-for-profit entities that are providing respite care services or other supports to caregivers focused on special or targeted populations that may not be otherwise captured in or involved with the state's existing respite care coalition; and
- d. Any additional federally funded, local, or state program that may provide supports or resources that can be leveraged to further support the expansion of lifespan respite care services.

Applications will be scored, in part, on the extent to which the proposed use of funds will advance the State's capacity to leverage public and private partnerships to deliver and increase access to respite services and achieve desired outcomes. This may also include investing in the training and ongoing development of both new and existing respite care professionals (paid and unpaid).

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

4. Paid and volunteer respite provider training

Applicants should describe the extent to which their proposed projects will work to expand or strengthen the respite care workforce, whether paid or volunteer, including recruitment, training, and oversight with particular emphasis on cultural competence and quality in service delivery. In this regard, applicants should describe how the quality and safety of any respite care services provided will be monitored, including methods to ensure that respite care workers and volunteers are appropriately screened and possess the necessary skills to care for the needs of the care recipient in the absence of the family caregiver.

5. Identification and reduction of gaps in current services

Applicants are expected to demonstrate knowledge in their current system of respite services and provide details that inform how the current system of respite services forms the foundation for their statewide systems of lifespan respite care services, including how such services are targeted and delivered. Based on the applicant's description of the current statewide respite care system, applicants should then identify and explain known gaps in the provision of respite services and propose how those gaps in respite services will be addressed should the applicant receive federal funding as a result of their application to this funding announcement.

6. Targeting underserved populations, across the lifespan, with particular emphasis on addressing those most impacted by COVID-19

Applicants should continue to address equity among populations across the lifespan, particularly given what we know about the disproportionate impact the coronavirus had on many traditionally underserved populations. Underserved populations is defined as those in greatest economic and social need, who are further isolated from services and supports by their race, ethnicity, cultural background, sexual orientation/gender identity, geographic location, and/or limited English speaking proficiency. Applicants are expected to explain current efforts, and results, under their current lifespan respite system of care to serve underserved populations across the lifespan. Based on this description, applicants should then explain how they propose to target and increase services to traditionally underserved populations that have been identified in their state and local communities.

Additional Application Elements

In addition to the priority areas described above, as well as the required narrative elements described in "Section IV. Project Narrative" section of this funding announcement, applicants should clearly demonstrate/address the following in their applications:

Programmatic Performance and Outcomes Measurement

Performance is an important component of a fully functioning Lifespan Respite Care System. This includes programmatic performance outcomes (including associated cost/benefits) with particular attention to consumer level information regarding service delivery and impact on consumers. Applicant goals should identify relevant consumer-based, programmatic and systems-level outcomes the state would like to measure and proposed approaches.

Awardees under this funding opportunity will work with ACL to implement the data collection

and reporting requirements, under Section 2904 of the Lifespan Respite Reauthorization Act of 2020. As such, grantees under this program should expect reporting requirements to change over the course of the project and will be expected to comply with those changes when they are implemented.

Applicants should describe how they plan to count and record the experiences of the people being served with these funds as well as the impact of a statewide lifespan respite care system on consumers, their families, and employers. Successful applicants will describe how such data would be collected and presented and do so in concert with current efforts across existing respite programs/funding streams. Applicants may identify a consumer level outcome measure (or measures) of their choosing or draw upon the "Measuring Systems Change and Consumer Outcomes: Recommendations for Developing Performance Metrics for State Lifespan Respite Programs" document to assist in the conceptualization, development and implementation of useful performance metrics. This resource can be accessed at https://archrespite.org/images/docs/2014_Guidebooks/PerformanceMeasurementGuide_web.pdf. Applicants are encouraged to review the document and consider this information when designing their application for this announcement.

Products

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

Participation in Technical Assistance Efforts

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

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

Grants/Subcontracts

Grantees may carry out the required activities described above directly or by sub-grant to, or contract with, public or private entities. Due to the nature of this program, the State Project

Director must maintain an active role in the management of this project. Applicants who propose conduit or pass-through funding for another agency to lead the project will not be considered for funding.

Applicants under this funding announcement should clearly describe, if necessary, their processes for sub-granting or sub-contracting specific activities under this funding announcement. Additionally, applicants should clearly describe the role of the project director along with the stakeholder group that will guide the design and implementation of the statewide lifespan respite care system.

Statutory Authority

In 2020, Congress reauthorized the Lifespan Respite Care Act of 2006 (Public Law 109-442), through FY 2024. Signed into law on January 5, 2021 (Public Law 116-324), the reauthorization amended Sections 2904 and 2905 of the Lifespan Respite Care Act of 2006, under Title XXIX of the Public Health Service Act.

II. Award Information

Funding Instrument Type:

CA (Cooperative Agreement)

Estimated Total Funding:

\$ 550,000

Expected Number of Awards:

2

Award Ceiling:

\$ 275,000

Per Budget Period

Award Floor:

\$ 100,000

Per Budget Period

Length of Project Period:

60-month project period with five 12-month budget periods

Additional Information on Project Periods and Explanation of 'Other'

ACL recognizes the considerable need for respite services across the country. In an effort to ensure robust, expanding lifespan respite programs, ACL expects applicants to request a minimum of \$100,000 in federal funding to ensure projects of sufficient scope and viability to further bridge gaps in existing services.

ACL plans to fund approximately two (2) grants under this reposted funding announcement, with a federal funding level of approximately \$100,000 to \$275,000 per award for a 60-month project period with five 12-month budget periods, pending availability of federal funds. Not all states who apply for funding will receive grants. Actual award amounts will vary based on the availability of federal funds.

Successful applicants may be asked to revise their proposals based on smaller-than-requested

awards. Eligible state agencies funded under this announcement shall use grant funds solely on lifespan respite care service provision and systemic advancement as outlined in The Act. Funds made available under this announcement shall be used to supplement and must not supplant other Federal, State, and local funds available for respite care services.

This is a new Cooperative Agreement. 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 as long as it stays within the original confines of the proposed project description. Major changes may affect the integrity of the competitive review process. Modifications and/or amendments of the Cooperative Agreement or work plan shall be effective upon the execution of an award notice.

When an award is issued the Cooperative Agreement terms and conditions from the Notice of Funding Opportunity (NOFO) are incorporated by reference unless ACL is authorized under the Terms and Conditions of award, 45 CFR Part 75, or other applicable regulation or statute to make unilateral amendments.

States not currently receiving grant funding will be given priority consideration when funding decisions are made. The Administrator, ACL, will make final award decisions. In making these decisions, the Administrator will take into consideration: recommendations of the review panel; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and the likelihood that the proposed project will result in the benefits expected.

The terms and conditions of this Cooperative Agreement includes the following terms:

The ACL Project Officer shall carry out the following activities for the Cooperative Agreement:

- Collaborate with the grantee in the finalization, execution and modification of the work plan;
- Perform the day-to-day federal responsibilities of managing grants and will work with the grantee to ensure that the minimum requirements of the grant are met.
- Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the grantee project, and, as necessary, negotiate with the grantee to achieve a mutually agreed upon solution to any needs identified by the grantee or ACL.
- Assist the grantee project leadership in understanding the policy concerns and/or priorities of ACL, the U.S. Department of Health and Human Services, and the federal government by conducting periodic briefings and carrying out ongoing consultations. ACL will also share information with the grantee about other federally sponsored projects and activities that are relevant to the interest of the grantee and grantee activities.

The grantee shall execute the activities as noted above and the responsibilities of the Cooperative Agreement listed below:

- Collaborate with ACL in the finalization, execution and modification of the work plan;

- Fulfill all of the requirements of the grant initiative as outlined in this funding opportunity, as well as carry out project activities as reviewed, approved, and awarded;
- Communicate with the ACL Project Officer regularly to improve the effectiveness of the activities carried out under this Agreement;
- Meet with the ACL Project Officer, at least semi-annually, or at such other times as are agreed upon by either party to improve the effectiveness of the activities carried out under this Agreement;
- Participate in technical assistance efforts as provided by the Lifespan Respite Technical Assistance and Resource Center (TARC); and
- Include the following disclaimer on all products produced using ACL/AoA grant funding:

"This project was supported, in part by grant number 90LRLI####, from the U.S. Administration for Community Living, Department of Health and Human Services, Washington, D.C. 20201. Grantees undertaking projects under government sponsorship are encouraged to express freely their findings and conclusions. Points of view or opinions do not, therefore, necessarily represent official Administration for Community Living policy."

III. Eligibility Information

1. Eligible Applicants

By statute, awards may only be made to eligible state agencies that administer the State program under the Older Americans Act of 1965; administer the State program under title XIX of the Social Security Act; or are designated by the Governor of that state to administer the program activities described in this Announcement.

This grant competition is further limited as follows:

- Eligible state agencies receiving funding under this funding announcement will be required to have developed a Lifespan Respite Care System and build upon the foundation they established by completing an initial Lifespan Respite Grant to new states.
- Therefore, eligible states include Arizona, Connecticut, Delaware, District of Columbia, Florida, Hawaii, Idaho, Iowa, Kansas, Louisiana, Maryland, Massachusetts, Minnesota, Mississippi, Nebraska, Nevada, New Hampshire, New Jersey, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Texas, Utah, Washington, and Wisconsin.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement:

Yes

For awards that require matching or cost sharing by statute, recipients will be held accountable for projected commitments of non-federal resources (at or above the statutory requirement) in their application budgets and budget justifications by budget period, or by project period for fully funded awards. The applicant will be held accountable for all proposed non-federal resources as shown in the Notice of Award (NOA). **A recipient's failure to provide**

the statutorily required matching or cost sharing amount (and any voluntary committed amount in excess) may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.

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

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

There are two types of match: 1) non-federal cash and 2) non-federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered matching funds. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (third-party) donations.

Budgetary funds provided from the applicant agency's budget for costs associated with the project are an example of a non-federal cash match. **ACL discourages you from exceeding the minimum match requirement.** Applications with a match greater than the minimum required will not receive additional consideration under the review. Match is one of the responsiveness criteria as noted in Section III, 3 Application Disqualification Factors.

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

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

1. Is an eligible State Agency, as outlined in Section III (1) of this Notice of Funding Opportunity announcement;
2. Has included in the application package an MOU between the Eligible State Agency and the statewide respite coalition/organization; and
3. Does not have an active award for this current project, following the posting of the original Notice of Funding Opportunity earlier this year.

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

Application Screening Criteria

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

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

1. *Applications must be submitted electronically via <https://www.grants.gov> by 11:59 p.m., Eastern Time, by the **due date listed in section IV.3 Submission Dates and Times**.*
2. *The Project Narrative section of the Application must be **double-spaced**, on 8.5" x 11" plain white paper with **1" margins** on both sides, and a **standard font size of no less than 11 point, preferably Times New Roman or Arial**.*
3. *The Project Narrative must not exceed 30 pages. **Project Narratives that exceed 30 pages** will have the additional pages removed and only the first 30 pages of the*

*Project Narrative will be provided to the merit reviewers for funding consideration. **NOTE:** The Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel are not counted as part of the Project Narrative for purposes of the page limit.*

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

IV. Application and Submission Information

1. Address to Request Application Package

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

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

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

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

- At the <https://www.grants.gov> website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process because of the time involved to complete the registration process.
- All applicants must have a DUNS number (<https://fedgov.dnb.com/webform/>) and be registered with the System for Award Management (SAM, www.sam.gov) and

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

<https://www.sam.gov/SAM/pages/public/help/samQUserGuides.jsf>.

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

- Note: Failure to submit the correct EIN Suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) or receive subawards directly from the recipients of those grant funds to:
 1. Register in SAM prior to submitting an application or plan;
 2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
 3. Provide its DUNS number in each application or plan to submit to the OPDIV.

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

- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements. It is entered on the SF-424. It is a unique, nine-digit identification number, which provides unique identifiers of single business entities. The DUNS number is free and easy to obtain.
- Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 866-705-5711.
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide.

Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.

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

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

Lori Stalbaum
Administration on Aging
Email: lori.stalbaum@acl.hhs.gov

2. Content and Form of Application Submission

Letter of Intent

Number Of Days from Publication 15

08/07/2021

Applicants are requested, but not required, to submit a letter of intent to apply for this funding opportunity to assist ACL in planning for the application independent review process. The purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. Letters of intent should be sent to:

Applicants are requested, **but not required**, to submit a letter of intent to apply for this funding opportunity to assist ACL in planning for the application independent review process. The purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. Letters of intent should be sent to:

U.S. Department of Health and Human Services
Administration for Community Living
Lori Stalbaum
Administration on Aging
Email: lori.stalbaum@acl.hhs.gov

Project Narrative

The Project Narrative must be double-spaced, on 8.5" x 11" paper with 1" margins on both sides, and a standard font size of no less than 11-point, preferably Times New Roman or Arial. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative 20 to 30 pages; 30 pages is the maximum length allowed. Project Narratives that exceed 30 pages will have the additional pages removed and only the first 10 pages of the Project Narrative will be provided to the merit reviewers for funding consideration.

The Project Work Plan, Letters of Commitment, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 30-page limit, but all of the other sections noted below are included in the limit.

The Project Narrative should describe the status of the state’s Lifespan Respite Care programs and systems to date, outline the vision for transforming or strengthening the state’s current Lifespan Respite Care investments into a statewide lifespan respite care system, and detail the plan for achieving the vision outlined.

The components of the Project Narrative counted as part of the 30-page limit include:

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

Organizational Capacity

Summary/Abstract

This section should include a brief (265 words maximum) description of the proposed project, including goal(s), objectives, outcomes, and products to be developed. Detailed instructions for completing the summary/abstract are included in the “Instructions for Completing the Project Summary/Abstract.”

Problem Statement

This section should describe, in both quantitative and qualitative terms, the nature and scope of lifespan respite care services currently available within the state, including increased availability of services as a result of previous grant activities, existing gaps and unmet needs that need to be addressed, anticipated challenges with bringing existing lifespan respite care services to a systems level of scalability, and available partners and resources that are being leveraged to support bringing existing lifespan respite care services to scale. Also, discuss the impact of existing lifespan respite care services on older adults and people with disabilities (including specific subgroups within those populations), their families and caregivers.

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

- The population of family caregivers in the state, and the criteria used to identify family caregivers eligible for respite care services;
- The extent and nature of the respite care needs of that population;

- Existing respite care services for that population, including numbers of family caregivers being served and the extent of unmet demand or need;
- Existing methods or systems to coordinate respite care information and services to the population at the State and local level, and identification of barriers that impede increased access to lifespan respite care services; and
- A description of respite care services available to family caregivers in the eligible State agency's State or locality, including unmet needs and how the eligible State agency's plan for use of funds will improve the coordination and distribution of equitable respite care services for family caregivers.

Goals and Objectives

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

Proposed Intervention

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

In addition, applicants must describe the following:

- How respite care information dissemination and coordination, respite care services, respite care workers and volunteer recruitment and training programs, or training programs for family caregivers that assist them in making informed decisions about respite care services will be provided using evidence-based interventions and funds provided under this Announcement;
- A plan for administration, collaboration, and coordination of the proposed respite care activities with other related services or programs offered by public or private, nonprofit entities such as, Aging & Disability Resource Centers/No Wrong Door Systems, Medicaid, National Family Caregiver Support Programs, Veterans Affairs, Protection & Advocacy entities, Developmental Disability Councils, University Centers of Excellence in Developmental Disabilities Education, Research & Service, Area Agencies on Aging, Centers for Independent Living, community-based organizations providing supports to people with disabilities, and faith-based entities;
- How the population, including family caregivers, care recipients, and relevant public or private agencies, will participate in the planning and implementation of the proposed respite care activities;

- How the proposed respite care activities will make use, to the maximum extent feasible, of other Federal, State, and local funds, programs, contributions, other forms of reimbursements, personnel, and facilities;
- A description of how the quality and safety of any respite care services provided will be monitored, including methods to ensure that respite care workers and volunteers are appropriately screened and possess the necessary skills to care for the needs of the care recipient in the absence of the family caregiver; and
- A description of the measures to be taken to ensure the confidentiality of the individuals served by the program.

Special Target Populations and Organizations

This section should describe how you plan to involve caregivers of older adults and/or children or adults with disabilities who use or are in need of respite care, as well as stakeholder organizations, in a meaningful way in the planning and implementation of a statewide lifespan respite care system. This section should also describe whether and how the proposed strategy targets other populations, in particular, those in greatest economic and social need, who are further isolated from services and supports by their race, ethnicity, cultural background, sexual orientation/gender identity, geographic location, and/or limited English speaking proficiency.

Applicants should be able to clearly describe the populations and organizations targeted including the extent to which the applicant has been successful in responding to the needs of the populations they had targeted. Applicants will also describe how funds from this funding opportunity will be used to address newly identified or existing unmet respite needs that expand, enhance and/or build upon previous efforts.

Outcomes

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

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

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

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

As a reminder:

Applicant goals should identify relevant outcomes the state would like to measure and proposed approaches. Applicants should describe how they plan to track the people being served with these funds as well as the impact on consumers of respite services. Successful applicants will describe how such data would be collected and presented and do so in concert with current efforts across existing respite programs/funding streams. Applicants may identify a consumer level outcome measure (or measures) of their choosing or draw upon the "Measuring Systems Change and Consumer Outcomes: Recommendations for Developing Performance Metrics for State Lifespan Respite Programs" document to assist in the conceptualization, development and implementation of useful performance metrics. This resource can be accessed at https://archrespite.org/images/docs/2014_Guidebooks/PerformanceMeasurmentGuide_web.pdf. Applicants are encouraged to review the document and consider this information when designing their application for this announcement.

Project Management

This section should include a clear delineation of the roles and responsibilities of the applicant's project staff, in particular the State Project Director. Due to the nature of this program, the State Project Director must maintain an active role in the management of this project. Applicants who propose conduit or pass-through funding for another agency to lead the project will not be considered for funding.

This section should also include information on the roles and responsibilities of sub-grantees, subcontractors, 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; and communications with other partners and ACL. It should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives.

Evaluation

This section should describe the method(s), techniques, and tools that will be used to: 1) determine whether the proposed intervention achieved its anticipated outcome(s), and 2) document the "lessons learned" – both positive and negative - from the project that will be useful to people interested in replicating the intervention, if it proves successful.

Dissemination

This section should describe the method that will be used to disseminate the project's results and findings in a timely manner, and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program

development, and/or policy-making, including and especially those parties who would be interested in replicating the project.

Organizational Capability

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

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

Budget Narrative/Justification

The Budget Narrative/Justification can be provided using the format included in the document, "Budget Narrative/Justification – Sample Format." Applicants are encouraged to pay particular attention to this document, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required.

Failure to include both a consolidated budget and budget narrative, as well as individual budget and budget narratives for each project period, with the application will result in a score of "zero" for this required component during the independent review scoring process (For more information, see Section V: Application Review Information.)

NOTE: Applicants will be required to resubmit budget narrative/justification documents that do not include the appropriate level of detail. For successful applicants this could create a delay in receiving the grant award.

Work Plan

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

Failure to include a work plan, detailing activities for each year of the project, with the application will result in a score of "zero" for this required component during the

independent review scoring process (For more information, see Section V: Application Review Information.)

Letters of Commitment from Key Participating Organizations and Agencies

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For applications submitted electronically via <https://www.grants.gov>, signed letters of commitment should be scanned and included as attachments.

3. Submission Dates and Times

Due Date for Applications 08/23/2021

08/23/2021

Date for Informational Conference 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.

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

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

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

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

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

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

opportunity number, prior to the Grants.gov application due date as the final and only acceptable application

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

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

4. Intergovernmental Review

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

5. Funding Restrictions

The following activities are not fundable:

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

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

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

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

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

- Develop a compliance plan to implement 2 CFR 200.216 regulation.
- Develop and maintain internal controls to ensure that your organization does not expend federal funds (in whole or in part) on covered equipment, services or systems.
- Determine through reasonable inquiry whether your organization currently uses “covered telecommunication” equipment, services, or systems and take necessary actions to comply with the regulation as quickly as is feasibly possible.

6. Other Submission Requirements

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

V. Application Review Information

1. Criteria

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

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

- Project Relevance & Current Need – 15 points
- Approach – 30 points
- Budget – 15 points
- Project Impact – 25 points
- Organizational Capacity - 15 points

Project Relevance & Current Need

Maximum Points: 15

1. Does the application describe:
 - a. The population of caregivers in the state;
 - b. The extent and nature of respite needs of that population;
 - c. Existing respite care services, including numbers currently served;
 - d. Existing methods to coordinate respite information and services to the population;
 - e. Respite services currently available in the state, including unmet needs; and
 - f. The criteria used to identify family caregivers eligible for respite care services?

2. In demonstrating knowledge of family caregiver populations, does the applicant apply the knowledge and lessons learned under current and previous Lifespan Respite grant(s) to further understand and describe the respite needs of family caregivers in the state?
3. Does the applicant provide information on the impact of the state's previous efforts under the Lifespan Respite Care Program to date?
4. Does the applicant describe how the proposed project will build upon the accomplishments made in previous Lifespan Respite Care Program grants?

Approach

Maximum Points: 30

Goals/Objectives/Methods of Addressing the Problem (10 Points)

1. Has the applicant stated clear and meaningful goals and objectives for the proposed system-change and development as well as any problems that relate to the proposed development of the system?
2. Are the goals and objectives reasonable and likely to be achieved?
3. Does the project take into account barriers and opportunities that exist in the larger environment that may impact the project's success?
4. Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate?
5. Does the application propose an approach for expanding the range of collaborations and partnerships to ensure the program is reaching the broadest population of eligible caregivers?
6. Does the application tie current goals and objectives clearly to the applicant's work in their previous Lifespan Respite Care Program grant(s)?
7. Does the applicant describe the actions they will take to further develop their Lifespan Respite program into a Lifespan Respite Care System?
8. What progress is the applicant likely to make in developing their Lifespan Respite program into a Lifespan Respite Care system?

Work Plan (15 points)

1. Does the application include a work plan for each year of the project? **(Failure to include a work plan with the application will result in a score of “zero” for this section.)**
2. Does the work plan include sensible and feasible timeframes for the accomplishment of tasks presented?
3. Does the work plan include specific objectives and tasks that are linked to measurable outcomes?
4. Are the roles and responsibilities of project staff, consultants and partners clearly delineated and linked to specific objectives and tasks?

Coordination and Linkages (5 Points)

1. Does the application detail the means by which the State respite coalition/organization and the ADRC/NWD system will work collaboratively with the applicant in designing, implementing and managing a Lifespan Respite Care System?

2. Does the application describe how other state and/or local community-based organizations will be involved in a meaningful way in the planning, implementation and delivery of respite care services?
3. Does the applicant demonstrate inclusion of the full range of age and disability populations in the planning and implementation of the Lifespan Respite Program?
4. Does the proposed project include all eligible population groups, including disadvantaged and limited-English speaking populations in its targeting?
5. Does the application describe the plan for administering, collaborating and coordinating respite care activities in the state with other related programs and services?

Budget

Maximum Points: 15

Adequacy, Scope and Applicability

1. Does the application include a budget and budget narrative? **(Failure to include budgets and budget narratives with the application will result in a score of “zero” for this section).**
2. Is the budget justified with respect to the adequacy and reasonableness of resources requested?
3. Is the scope of project activities consistent with the resources requested?
4. Are budget line items clearly delineated and consistent with work plan objectives?
5. Does the applicant describe the percentage of the grant funds to be used for the direct provision of respite services?
6. Does the applicant describe the percentage of the grant fund to be used for direct services stipulated in the Lifespan Respite Care Act of 2006, as amended?
7. 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?
8. Does the budget include the required match?

Project Impact

Maximum Points: 25

Project Outcomes (10 Points)

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

Project Evaluation (5 Points)

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

4. Will the evaluation permit a determination of whether objectives have been achieved?
5. Does the applicant describe how the quality and safety of respite care services will be monitored?

Sustainability (5 Points)

1. Is there a clear and realistic plan to make policy changes or to secure resources to continue the Lifespan Respite Care System and access to respite services after Federal financial assistance has ended?
2. Is the sustainability of the Lifespan Respite Care System likely?
3. Will the results of the project be used to inform state lifespan respite care system, program and policy development?

Dissemination (5 Points)

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

Organizational Capacity

Maximum Points: 15

Project Staffing and Qualifications (5 Points)

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

Organization and Management (10 Points)

1. Does the applicant demonstrate the commitment to lead the project by showing that the State Project Director will maintain an active role in the management of this project?
2. Does the application adequately describe the agency's ability to work with other state and community based agencies?
3. Does the applicant's proposed approach for working with public and private non-profit state respite coalitions/organizations seem feasible?
4. Does the applicant demonstrate an understanding of respite care and family caregiver issues across all age groups, disabilities, and chronic conditions?
5. Does the applicant demonstrate capacity and commitment to ensuring meaningful involvement of family members, family caregivers, and care recipients?
6. Does the applicant demonstrate the commitment to implement the program so as to expand or enhance the delivery of respite services?

7. Are letters of support from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions?
8. Are assurances in place that the applicant will have a system for maintaining confidentiality of care recipient and family caregiver records?

2. Review and Selection Process

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

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

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

States not currently receiving grant funding will be given priority consideration when funding decisions are made.

3. Anticipated Announcement Award Date

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

The anticipated project period start date for this announcement is: 09/30/2021

VI. Award Administration Information

1. Award Notices

Successful applicants will receive an electronic Notice of Award. The Notice of Award is the authorizing document from the U.S. Administration for Community Living authorizing official,

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

2. Administrative and National Policy Requirements

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

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

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

Applicants may follow their own procurement policies and procedures when contracting with Project Funds, but You must comply with the requirements of 2 C.F.R. §§ 200.317-200.326. Additionally, when using Project Funds to procure supplies and/or equipment, applicants are encouraged to purchase American-manufactured goods to the maximum extent practicable. American-manufactured goods are those products for which the cost of their component parts that were mined, produced, or manufactured in the United States exceeds 50 percent of the total cost of all their components. For further guidance regarding what constitutes an American-manufactured good (also known as a domestic end product), see 48 C.F.R. Part 25.

3. Reporting

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

4. FFATA and FSRS Reporting

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

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

VII. Agency Contacts

Project Officer

First Name:

Lori

Last Name:

Stalbaum

Phone:

202-795-7444

Office:

AoA - Office of Supportive and Caregiver Services

Grants Management Specialist

First Name:

Sherlonda

Last Name:

Blue

Phone:

202-795-7310

Office:

CMB - Office of Grants Management

VIII. Other Information

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

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

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The project description and Budget Narrative/Justification is approved under OMB control number 0985-0018. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

Appendix

Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

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

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> and <https://www.lep.gov>. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>.
- Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>.
- HHS funded health and education programs must be administered in an environment free of sexual harassment. Please see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>; <https://www2.ed.gov/about/offices/list/ocr/docs/shguide.html>; and <https://www.eeoc.gov/sexual-harrassment>.
- Recipients of FFA must also administer their programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws. Collectively, these laws prohibit exclusion, adverse treatment, coercion, or other discrimination against persons or entities on the basis of their consciences, religious beliefs, or moral convictions. Please see <https://www.hhs.gov/conscience/conscience-protections/index.html> and <https://www.hhs.gov/conscience/religious-freedom/index.html>.

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

Instructions for Completing Required Forms

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. ACL does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.

a. Standard Form 424

1. **Type of Submission:** (REQUIRED): Select one type of submission in accordance with agency instructions.

- Preapplication
- Application
- Changed/Corrected Application – If ACL requests, check if this submission is to change or correct a previously submitted application.

2. **Type of Application:** (REQUIRED) Select one type of application in accordance with agency instructions.

- New
- Continuation
- Revision

3. **Date Received:** Leave this field blank.

4. **Applicant Identifier:** Leave this field blank

5a **Federal Entity Identifier:** Leave this field blank

5b. **Federal Award Identifier:** For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

6. **Date Received by State:** Leave this field blank.

7. **State Application Identifier:** Leave this field blank.

8. **Applicant Information:** Enter the following in accordance with agency instructions:

a. Legal Name: (REQUIRED): Enter the name that the organization has registered with the System for Award Management (SAM), formally the Central Contractor Registry. Information on registering with SAM may be obtained by visiting the Grants.gov website (<https://www.grants.gov>) or by going directly to the SAM website (www.sam.gov).

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

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

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

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

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

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

A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native

American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)

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

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

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

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

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

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

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

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

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

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

contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

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

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

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

NOTE: Indirect charges may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with HHS requirements. **If indirect costs are to be included in the application, a copy of the approved indirect cost agreement or cost allocation plan must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an approved cost allocation plan.**

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

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

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

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

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

Standard Form 424A

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

Section A - Budget Summary

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

Section B - Budget Categories

Column 1: Enter the breakdown of how you plan to use the Federal funds being requested by object class category.

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

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

Section C - Non-Federal Resources

Column A: Enter the federal grant program.

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

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

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

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

Section D - Forecasted Cash Needs

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

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

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

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial startup costs in the first quarter of your award reflect that in quarter one or you do not expect to have contracts awarded and funded until quarter three, reflect those costs in that quarter.

Section E – Budget Estimates of Federal Funds Needed for Balance of the Project (i.e. subsequent years 2, 3, 4 or 5 as applicable).

Column A: Enter the federal grant program

Column B (first): Enter the requested year two funding.

Column C (second): Enter the requested year three funding.

Column D (third): Enter the requested year four funding, if applicable.

Column E (forth): Enter the requested year five funding, if applicable.

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

Line 22: Enter the total Direct charges (calculation of indirect rate and direct charges).

Line 23: Enter any pertinent remarks related to the budget.

Separate Budget Narrative/Justification Requirement

Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: Federal; non-Federal cash; and non-Federal in-kind. Cost breakdowns, or justifications, are required for any cost of \$1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-Federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h Other.

In the Justification: Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6b: Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

In the Justification: If the total fringe benefit rate exceeds 35% of Personnel costs, provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a breakdown but you must show the percentage charged for each full/part time employee.

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

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

Line 6d: **Equipment:** Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e.

In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its subgrantees.

Line 6e: **Supplies:** Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

In the Justification: . For any grant award that has supply costs in excess of 5% of total direct costs (Federal or Non-Federal), you must provide a detailed break down of the supply items (e.g., 6% of \$100,000 = \$6,000 – breakdown of supplies needed). If the 5% is applied against \$1 million total direct costs (5% x \$1,000,000 = \$50,000) a detailed breakdown of supplies is not needed. Please note: any supply costs of \$5,000 or less regardless of total direct costs does not require a detailed budget breakdown (e.g., 5% x \$100,000 = \$5,000 – no breakdown needed).

Line 6f: **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to

accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.

In the Justification: Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at \$100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR Part 75 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget narrative.

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

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

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

- *Meals are generally unallowable except for the following:*
- *For subjects and patients under study(usually a research program);*
- *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);*
- *When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;*
- *As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and*

- *Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances (Note: the sole purpose of the grant award is to hold a conference).*

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

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

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

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

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

c. Standard Form 424B – Assurances (required)

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

d. Certification Regarding Lobbying (required)

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

Proof of Nonprofit Status (as applicable)

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

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

Indirect Cost Agreement

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

Budget Narrative/Justification- Sample Format

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

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	\$47,700	\$23,554	\$0	\$71,254	<p>Federal</p> <p>Project Director (name) = .5 FTE @ \$95,401/yr = \$47,700</p> <p>Non-Fed Cash</p> <p>Officer Manager (name) = .5FTE @ \$47,108/yr = \$23,554</p>

					Total 1,254	7
Fringe Benefits	\$17,482	\$8,632	\$0	\$26,114	Federal Fringe on Project Director at 36.65% = \$17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) Non-Fed Cash Fringe on Office Manager at 36.65% = \$8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)	
Travel	\$4,707	\$2,940	\$0	\$7,647	Federal Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles \$2,457 Lodging: 15 days @ \$110/day \$1,650 Per Diem: 15 days @ \$40/day \$600 Total \$4,707 Non-Fed Cash Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ \$500 \$1,500 Lodging: 3 days x 3 staff @ \$120/day \$1,080	

					Per Diem: 3 days x 3 staff @ \$40/day \$360 Total \$2,940
Equipment	\$10,000	\$0	\$0	\$10,000	No Equipment requested OR: Call Center Equipment Installation = \$5,000 Phones = \$5,000 Total \$10,000
Supplies	\$3,700	\$5,670	\$0	\$9,460	Federal 2 desks @ \$1,500 \$3,000 2 chairs @ \$300 \$600 2 cabinets @ \$200 \$400 Non-Fed Cash 2 Laptop computers \$3,000 Printer cartridges @ \$50/month \$300 Consumable supplies (pens, paper, clips etc...) @ \$180/month \$ 2,160 Total \$9,460
Contractual	\$30,171	\$0	\$0	\$30,171	(organization name, purpose of contract and estimated dollar amount) Contract with AAA to provide respite services:

					11 care givers @ \$1,682 = \$18,502 Volunteer Coordinator = \$11,669 Total \$30,171 <i>If contract details are unknown due to contract yet to be made provide same information listed above and:</i> A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other	\$5,600	\$0	\$5,880	\$11,480	Federal 2 consultants @ \$100/hr for 24.5 hours each = \$4,900 Printing 10,000 Brochures @ \$.05 = \$500 Local conference registration fee (name conference) = \$200 Total \$5,600 In-Kind Volunteers 15 volunteers @ \$8/hr for 49 hours = \$5,880
Indirect Charges	\$20,934	\$0	\$0	\$20,934	21.5% of salaries and fringe = \$20,934 IDC rate is attached.
TOTAL	\$140,294	\$40,866	\$5,880	\$187,060	

Budget Narrative/Justification - Sample Template

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

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					

Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Project Work Plan - Sample Template

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

Goal:

Measurable Outcome(s):

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

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

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

Instructions for Completing the Project Summary/ Abstract

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

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

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

Outcomes - measurable results of a project. Positive benefits or negative changes, or measurable characteristics among those served through this funding (e.g., clients, consumers, systems, organizations, communities) that occur as a result of an organization's or program's activities. These should tie directly back to the stated goals of the funding as outlined in the funding opportunity announcement. (Outcomes are the end-point)

Products - materials, deliverables.

- A model abstract/summary is provided below:

The Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite services through the Delaware ADRC; 4) to increase availability of respite services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.

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

1. Project Director.

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

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

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

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

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

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

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

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

I. Definitions and Exemptions

A. Definitions.

Research

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

Human Subject

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

B. Exemptions.

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

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

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

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

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