



Administration for Community Living

Administration on Aging

Elder Justice Innovation Grants - Improving Guardianship FY2022

HHS-2022-ACL-AOA-EJIG-0071

05/06/2022

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ACL Center:

Administration on Aging

Funding Opportunity Title:

Elder Justice Innovation Grants - Improving Guardianship FY2022

Funding Opportunity Number:

HHS-2022-ACL-AOA-EJIG-0071

Primary CFDA Number:

93.747

Due Date for Letter of Intent:

04/06/2022

Due Date for Applications:

05/06/2022

Date for Informational Conference Call:

03/30/2022

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

Executive Summary
Additional Overview Content/Executive Summary

The Elder Justice Innovation Grants program is intended to support foundational work to create credible innovations, with benchmarks for adult maltreatment prevention, and for program development and evaluation. The Elder Justice Innovation Grants program supports the development and advancement of knowledge and approaches in new and emerging issues related

to elder justice. Funded projects contribute to the improvement of the field of adult maltreatment prevention and intervention at large by undertaking initiatives such as developing programs, interventions, and materials, or by establishing and/or contributing to the evidence base of knowledge.

Through this program announcement, ACL plans to award up to twenty (20) cooperative agreements, ranging from \$150,000 - \$1,000,000 per year for a 36-month project period, to assess and implement improvements in the handling of the adult guardianship and conservatorship process by state courts. This includes enhancing the fairness, effectiveness, timeliness, safety, and integrity of adult guardianship/conservatorship proceedings; addressing access to guardianship revocation and alternative pathways and proceedings that promote less restrictive means of supported decision making; and developing innovations to improve the experiences of individuals at risk of guardianship/conservatorship.

I. Funding Opportunity Description

Background and Current Challenges

Guardianships and conservatorships (hereinafter referred to as “guardianships”) describe legal relationships by which state courts empower individuals or entities to make personal and/or property decisions for other adults, or “protected persons,” who the court has determined are unable to make their own decisions regarding a range of fundamental life choices. Court-appointed guardians and conservators (hereinafter referred to as “guardians”) have a duty to care for the interests of the adult who is placed under a guardianship, often referred to as the “protected person.” As such, guardians—who may be family members, friends, professionals, private non-profit or for-profit agencies, or public agencies—are legally imbued with authority to make a wide array of decisions that impact a protected person’s life, including financial, medical, relationships and residential decisions. This substantial authority often means that a protected person loses basic human rights, such as the right to make decisions about where and how they live, vote, marry, conduct relationships, buy or sell real estate, make decisions about their medical care or finances, or enter into other contractual agreements.

State law defines guardianship systems, and state courts manage the system. Each guardianship system includes numerous steps and proceedings, such as making a determination about a protected person’s ability to make decisions, appointing the guardian, monitoring the guardianship, removing/reappointing a guardian, and ending the guardianship. These steps often exclude the proposed protected person from participating in the proceedings by rule or practice. State law generally requires that guardianships be an option of last resort after less-restrictive options have been considered, the guardian’s authority is limited, and the guardianship be monitored for abuse and accountability.^[1] However, guardianship laws, policies, and procedures are not always consistently enforced or followed within or across states. The various steps and moving parts create opportunities for fraud and abuse of the system and the protected person. States often lack the capacity or processes in place to adequately detect and address fraud and abuse and other diminution of the rights of protected persons. While many guardians exercise their duty honorably, others abuse the guardianship system, causing significant financial, physical, and other harms to individuals in their care. Further, lesser-restrictive options for ensuring decision supports and protection of an adult’s personal and property interests are often not considered.

Exploitation by guardians and conservators has received significant state and national attention, yet it is also widely acknowledged that more needs to be done to reform guardianship and protect those under guardianships from maltreatment. [2] In November 2016, the U.S. Government Accountability Office released a report titled “Elder Abuse: The Extent of Abuse by Guardians is Unknown, but Some Measures Exist to Help Protect Older Adults,” and the U.S. Senate Special Committee on Aging held hearings called “Trust Betrayed: Financial Abuse of Older Americans by Guardians and Others in Power.” Yet although recognized as a serious and pervasive problem, much remains unknown about the extent of the problem and effective methods to monitor guardianships and prevent guardianship abuse. In 2017, the Elder Justice Prevention and Prosecution Act amended the Elder Justice Act to add Section 2042(c)(2)(E), which authorizes grants to the highest state courts to better understand and remedy these issues. As recently as 2018, the U.S. Senate Special Committee on Aging conducted a study on guardianship and recommended several key areas for reform, including improving: oversight of guardians and guardianship arrangements, alternatives to guardianship and restoration of rights, and data collection.[3]

Despite the recognized need for change, there are several challenges to guardianship reform, including the significant differences between court and state practices, the complexity of guardianship cases, the difficulty in balancing risks, protections, and self-determination, and the lack of funding to improve processes.[4] Gaps in knowledge and practice have been noted consistently across multiple efforts as a barrier to improvement. For example, multiple GAO studies conducted between 2004 and 2016 examined issues in guardianship systems, including abuse by guardians, and existing supports in place to protect older adults. [6] In particular, the 2016 study noted a lack of knowledge about the extent of elder abuse by guardians due to limited data on key factors, such as the number of guardians appointed to serve older adults at a given time, the number of older adults in guardianships, and the number of cases involving elder abuse by a guardian. [7]

Given the range of issues involved and the complex systems that differ by state, the task of improving guardianship systems requires a variety of solutions that will also vary by state. For example, several states have established Working Interdisciplinary Networks of Guardianship Stakeholders (WINGS) to begin identifying and addressing issues with their guardianship systems using a collective action approach. WINGS are predominantly chaired and hosted by highest state courts, and they primarily aim to prevent unnecessary and overbroad guardianships in favor of less-restrictive options and prevent, detect, and address abuses in the system. However, achieving significant and sustained improvement to these systems also requires continued innovation to any of the approaches used to identify and address issues, as well as the methods used to implement improvements.

Funding Overview

Adequate court oversight, mechanisms, and resources are critical to manage the guardianship system to maximize the decisional rights and self-determination interests of proposed protected persons and to mitigate the potential for fraud and abuse. With adequate resources and training, states are more able to thoroughly assess each case and ensure they are not inappropriately

placing an individual in a guardianship when less-restrictive options are available. To address this need and in response to calls for attention, ACL is awarding cooperative agreements to improve guardianship through the “Elder Justice Innovation Grants” program.

The Elder Justice Innovation Grants program is intended to support foundational work to create credible benchmarks for adult maltreatment prevention, and for program development and evaluation. The Elder Justice Innovation Grants program supports the development and advancement of knowledge and approaches about new and emerging issues related to elder justice. Funded projects contribute to the improvement of the field of adult maltreatment prevention and intervention at large, by undertaking initiatives such as developing programs, interventions, and materials, or by establishing and/or contributing to the evidence-base of knowledge.

Under this opportunity, ACL aims to stimulate improvements in the states’ guardianship systems that increase the preservation of the rights and self-determination of proposed protected persons and those subject to guardianship. ACL seeks proposals from the highest courts of States to address the following objectives:

1. Assess the fairness, effectiveness, timeliness, safety, and integrity of adult guardianship proceedings, access to alternatives to guardianship, examination of the processes for appointing and monitoring of the performance of court- appointed public and private guardians, and revocation of guardianship.
2. Develop and implement innovations to address issues determined during the assessment phase of the project.
3. Measure changes to the guardianship system implemented through the project and improvements in the experiences of individuals at risk of guardianship.

Examples of activities that meet the goals and objectives of this opportunity include, but are not limited to:

- Improving courts’ ability to detect fraud and abuse of protected persons
- Improving the performance monitoring of court-appointed guardians
- Identifying and addressing court guardianship system deficiencies that pose a risk to adults who may encounter the guardianship system
- Improving accounting of guardian qualifications and conduct
- Increasing availability and use of guardianship diversion programs and less-restrictive alternatives to guardianship
- Ensuring all lesser-restrictive alternatives to guardianship are explored in cases, and the least restrictive option is implemented
- Providing trainings and certifications to those involved in the guardianship process
- Improving collection and analysis of guardianship data
- Developing collaborations between state and local organizations, such as Working Interdisciplinary Networks of Guardianship Stakeholders (WINGS), to identify and address the decisional rights of protected persons and guardianship issues

- Conducting outreach and education about how to report abuse by guardians and how the state’s guardianship system addresses abuse.

The proposed project’s goals, objectives, and activities should be addressed in the application narrative, for which instructions can be found in Section IV.2 of this opportunity.

Additional Information – Grantee Meetings

Please note that ACL plans to convene grantee meetings during the first six months of each budget period, in person or virtual as public-health circumstances permit. Grantees are required to attend these meetings, absent extenuating circumstances, and grant funds may be used to cover this grant-related expense if the meeting is held in-person. If applicants intend to use grant funds to attend this meeting, they should include this expense in the application budget.

References

1. ABA Commission on Law and Aging. (2020). WINGS Briefing Paper Advancing Guardianship Reform and Promoting Less Restrictive Options.
2. U.S. Senate Special Committee on Aging. (November 2018). Ensuring Trust: Strengthening State Efforts to Overhaul the Guardianship Process and Protect Older Americans.
3. U.S. Senate Special Committee on Aging. (November 2018). Ensuring Trust: Strengthening State Efforts to Overhaul the Guardianship Process and Protect Older Americans.
4. ABA Commission on Law and Aging. (2020). WINGS Briefing Paper Advancing Guardianship Reform and Promoting Less Restrictive Options.
5. GAO. (March 22, 2011). Elder Justice: Stronger Federal Leadership Could Enhance National Response to Elder Abuse. Washington, D.C. Retrieved January 28, 2022, from <https://www.gao.gov/assets/320/316224.pdf>.
6. Multiple GAO studies on guardianship:
 - GAO. (July 2004). Guardianships: Collaboration Needed to Protect Incapacitated Elderly People. Washington, DC. Retrieved January 28, 2022, from <https://www.gao.gov/products/gao-04-655>.
 - GAO. (September 2010). Guardianships: Cases of Financial Exploitation, Neglect, and Abuse of Seniors. Washington, DC. Retrieved January 28, 2022, from <https://www.gao.gov/products/gao-10-1046>.
 - GAO. (November 16, 2016). The Extent of Abuse by Guardians Is Unknown, but Some Measures Exist to Help Protect Older Adults. Washington, D.C. Retrieved January 28, 2022, from <https://www.gao.gov/products/GAO-17-33>.
7. GAO. (November 16, 2016). The Extent of Abuse by Guardians Is Unknown, but Some Measures Exist to Help Protect Older Adults. Washington, D.C. Retrieved January 28, 2022, from <https://www.gao.gov/products/GAO-17-33>.

Statutory Authority

The statutory authority for grants under this Program Announcement is contained in Sections 201(e)(2) and 411 of the Older Americans Act, as amended, and Title XX of the Social Security Act, Subtitle B, the Elder Justice Act of 2009, Section 2042(a)(1) and (c)(2)-(3).

II. Award Information

Funding Instrument Type:

CA (Cooperative Agreement)

Estimated Total Funding:

\$6,000,000

Expected Number of Awards:

20

Award Ceiling:

\$1,000,000

Per Budget Period

Award Floor:

\$150,000

Per Budget Period

Length of Project Period:

36-month project period with three 12-month budget periods

Additional Information on Project Periods and Explanation of 'Other'

Under this competition, ACL will award approximately twenty (20) new, cooperative agreements ranging from \$150,000 - \$1,000,000 each. The project period will be for 36-months (or, 3 years), and the budget periods will be three (3), 12-month periods. Applications for continuation funding beyond the initial year will be reviewed on a non-competitive basis, subject to the availability of funds, contingent on satisfactory progress of the grantee, and a determination by ACL that continued funding will be in the best interest of the government.

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

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

By accepting an award under this funding opportunity announcement, the **grantee** agrees to execute the responsibilities outlined below:

1. Fulfill all requirements of the grant initiative as outlined in this program announcement, and carry out project activities as reviewed, approved, and awarded.

2. Collaborate with the Administration for Community Living (ACL) in the execution of the work plan and collaborate with ACL in understanding the programmatic and budgetary issues of the project. Based on these negotiations and emerging issues in the field, if necessary, the grantee will revise the project work plan and/or budget detailing expectations for major activities and products during the grant period.
3. Evaluate the impact of project activities and provide recommendations to ACL on ways to enhance the program. Include progress and information/data on the project's outcomes and the evaluation in semi-annual reports, and at other times as agreed upon by the grantee and ACL.
4. Meet with the ACL project officer at least once each month, or at such other times as agreed upon, to improve the effectiveness of the activities carried out under this Agreement.
5. Create products and/or materials under this award that are accurate, objective, unbiased, and of high professional quality, and that do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the ACL project officer a copy of the final product in order for the ACL project officer to have at least 15 business days to ensure the product meets the requirements set forth in the program announcement and cooperative agreement.
6. Submit to the ACL project officer a final, clean copy of all data developed or supported with these grant funds, in the format in which it was developed or produced, as provided for in the HHS Grants Policy Statement and referenced in the Notice of Award. The HHS Grants Policy Statement defines "data" as: "recorded information, regardless of the form or media on which it may be recorded, and includes writings, films, sound recordings, pictorial reproductions, drawings, designs or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other research data" (HHS Grants Policy Statement, Part II, "Rights in Data", page II-69).
7. Include the following disclaimer on all products produced using grant funding, including those produced by sub-awards: "This [project/publication/program/website, etc.] [is/was] supported by the Administration for Community Living (ACL), U.S. Department of Health and Human Services (HHS) as part of a financial assistance award totaling \$XX with XX percentage funded by ACL/HHS and \$XX amount and XX percentage funded by non-government source(s). The contents are those of the author(s) and do not necessarily represent the official views of, nor an endorsement, by ACL/HHS, or the U.S. Government."

The ACL project officer will execute the responsibilities outlined below:

1. Perform the day-to-day federal responsibilities of managing a grant initiative and will work with the grantee to ensure that the minimum requirements for the grant are met.

2. Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the grantee project, and, as necessary, negotiate with grantee to achieve a mutually agreed upon solution to any needs identified by the grantee or ACL.
3. Assist the grantee project leadership in understanding the policy concerns and/or priorities of ACL, and the Department of Health and Human Services by conducting periodic briefings and by carrying out ongoing consultations. ACL will also share information with the grantee about other federally sponsored projects and activities relevant to the interests of the grantee and their activities.
4. Provide technical assistance to grantee with the refinement and carrying out of the project's evaluation plan via regular conference calls and email correspondence.
5. Provide technical advice on grantee work products to ensure they are accurate, objective, unbiased, and of high professional quality, and that they do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the ACL project officer a copy of the final product, and within 15 business days, the ACL project officer will provide guidance and feedback on whether the product meets the requirements set forth in the program announcement and this cooperative agreement.
6. Provide consultation to the grantee in identifying emerging issues and modifying work plan as necessary.
7. Meet with the grantee project director at least once each month, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.

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

III. Eligibility Information

1. Eligible Applicants

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

Eligibility is limited to the highest courts of state per Title XX of the Social Security Act, Subtitle B, the Elder Justice Act of 2009, Section 2042(c)(2)-(3).

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 applicant error is to match 25% of the federal share, rather than 25% of the project's total cost. The statutory authority to require a match can be found in Section 431(a) of the Older Americans Act.

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

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria

Applications that do not meet the following responsiveness criteria will be administratively eliminated and will not be reviewed.

Eligible applicants under are defined by Title XX of the Social Security Act, Subtitle B, the Elder Justice Act of 2009, Section 2042(c)(2)-(3). Applications will be deemed to have met the initial responsiveness criteria by demonstrating all of the following:

1. The applicant is the highest court of the State, including an office that conducts administrative and/or policy functions within the highest court of the State.
2. The applicant has documented its authority to implement changes to the statewide guardianship system, including changes affecting members of the judiciary, members of the Bar, and guardians.
3. The applicant is substantively and meaningfully involved in the activities of the project, and does not appear to be serving as a “conduit” or “pass through” for funding.
4. Letters of Commitment are included, as required per Section IV.2 “Letters of Commitment from Key Participating Organizations and Agencies.”
5. CVs/Resumes are included for each person identified as “key personnel.”
6. Application includes a budget, as required, covering all three years (36 months) of the project.
7. Application includes a work plan, as required, covering all three years (36 months) of the project.

Application Screening Criteria

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

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

1. Applications must be submitted electronically via <http://www.grants.gov> by 11:59 p.m., Eastern Time, by the **due date listed in section IV.3 Submission Dates and Times**.
2. The Project Narrative section of the Application must be **double-spaced**, on 8.5” x 11” plain white paper with **1” margins** on both sides, and a **standard font size of no less than 11 point, preferably Times New Roman or Arial**.
3. The Project Narrative must not exceed 20 pages. **Project Narratives that exceed 20 pages** will have the additional pages removed and only the first 20 pages of the Project Narrative will be provided to the merit reviewers for funding consideration. NOTE: The Project Abstract, Project Work Plan, Bibliography/Works Cited, Letters of Commitment, Vitae of Key Project Personnel, Logic Model, and Budget are **NOT** counted for purposes of the 20- page limit.

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

IV. Application and Submission Information

1. Address to Request Application Package

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

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

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

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

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

Office of Elder Justice and Adult Protective Services
Mr. Sandy James
Phone Number: (202) 795-7387
E-mail: sandy.james@acl.hhs.gov

2. Content and Form of Application Submission

Letter of Intent

Due Date for Letter Of Intent 04/06/2022

04/06/2022

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

c/o Mr. Sandy James
Office of Elder Justice and Adult Protective Services
E-mail: sandy.james@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 is 12 to 15 pages; 20 pages is the maximum length allowed. Project Narratives that exceed 20 pages will have the additional pages removed and only the first 20 pages of the Project Narrative will be provided to the merit reviewers for funding consideration.

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether your project meets the minimum requirements for this funding opportunity. The Project Narrative should provide a clear and concise description of your project. Your project narrative will be reviewed and scored based on the components below.

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

- Project Relevance and Current Need
- Approach
- Proposed Intervention
- Special Target Populations and Organizations
- Outcomes
- Evaluation
- Organizational Capability
- Project Deliverables & Dissemination

The components of the Project Narrative that *are required* but *not counted* as part of the 20-page limit include:

- Project Abstract
- Bibliography/Works Cited
- Budget Narrative/Justification
- Project Work Plan
- Logic Model
- Vitae of Key Personnel
- Letters of Commitment

Project Abstract

This section will not count towards the 20-page limit.

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."

Project Relevance and Current Need

This section should describe, in both quantitative and qualitative terms, the nature and scope of the problem or issue the proposed intervention is designed to address. Strong applications will demonstrate that the proposed project is justified in terms of the most recent, relevant, and available information, evidence-based practices, and/or new and cutting-edge research.

For this funding opportunity, applicants should detail how the project will address the state's current guardianship system and issues that exist at various steps in the guardianship process. Applicants should further outline how the project's proposed interventions will improve outcomes adults who are or are at risk of becoming protected persons and impact each participant in the guardianship process, including attorneys, guardians, judges, and other members of the court system, and protected persons and proposed protected persons.

Applicants should focus on the specific aspects of the programmatic and policy considerations bearing on the issue, rather than providing a broad or sweeping historical overview that is not directly related to the proposed interventions and activities.

Approach

This section should include the following types of information:

Goals & Objectives

Applications should describe their proposed project's goal(s) and major objectives, particularly in relation to the overarching goals and objectives ACL has for the Elder Justice Innovation Grants as described in the Funding Opportunity Description above.

Proposed projects must have at least one (1) project objective. In Section I.3 (Funding Opportunity Description), ACL identifies a minimum set of objectives:

1. Assess the fairness, effectiveness, timeliness, safety, and integrity of adult guardianship proceedings, access to alternatives to guardianship, examination of the processes for appointing and monitoring of the performance of court- appointed public and private guardians, and revocation of guardianship.
2. Develop and implement innovations to address issues determined during the assessment phase of the project.
3. Measure changes to the guardianship system implemented through the project and improvements in the experiences of individuals at risk of guardianship.

Applications are free to propose more than the goals and objectives listed by ACL; however, application scores will not be based on, nor correspond to, the number of proposed goals or objectives.

Proposed Activities

Applications should provide a clear and concise description of the activities proposed to meet the goals and each of the objectives of this funding opportunity (i.e., how they will be achieved). Applications should explain the rationale for using a particular approach or intervention (i.e., why they were chosen). There should be a clear connection between identified system gaps/needs in "Project Relevance and Current Need" and the proposed

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

Special Target Populations and Organizations

Applicants should describe whether, and if so, how, the proposed intervention will target hard-to-reach populations, including limited-English speaking populations, those of greatest economic need, and/or those of greatest social need. Additionally, the application should identify what stakeholder groups will be involved and/or targeted to ensure success of the project. Be sure to describe the role and makeup of any strategic partnerships that will be critical for successfully implementing the intervention, including other organizations, supporters, and/or consumer groups. Applicants should document how they will reflect ACL's commitment to advancing equity, racial justice, and equal opportunity, including ensuring that people from underrepresented and underserved communities are at the table to inform the work in the execution of their grant activities.

Outcomes

Applications will be scored on the nature of the proposed outcomes and the clarity with which the applicant describes how the outcomes will be measured/evaluated, as explained below, **not** on the quantity/number of outcomes cited.

Outcomes

This section of the project narrative must identify the measurable outcomes that will result from the project. ACL will not fund any project that does not include measurable outcomes. This section should also describe how the project's findings and results will help/impact other state and/or local elder justice programs throughout the nation address the same or similar problems. Outcomes and project impact should be described in clear and realistic terms, and should be consistent with the objectives and purpose of the project and funding opportunity. Measurable outcomes may also be included in the optional work plan grid ("Project Work Plan – Sample Template").

A "measurable outcome" is a change in the responsiveness or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated; new knowledge; a measurable increase in community awareness; or a measurable increase in quality. A measurable outcome could also describe a change in the degree to which consumers exercise autonomous choice over the types of services they receive, or whether they are satisfied with the way a service is delivered. A measurable outcome could also be 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. 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.

**Please Note:* You should keep the focus of this section on describing what outcomes and what impact will be produced by the project. You should use the "Evaluation" section below to describe how the outcomes will be measured and reported.

Logic Model

In addition to the discussion in the narrative, this section must reference the application's *logic*

model that illustrates/shows the activities the applicant proposes to accomplish the project's goals and objectives, and the outcomes and measures of success of the overall project. A sample logic model is included in Section VIII. Other Information. The Logic Model should be included as an *attachment*, and will not count towards the 20-page limit.

Evaluation

Applications must include a description of the quantitative and/or qualitative method/s that will be employed to collect data from the project and successfully measure whether and to what extent the project has achieved its proposed outcome(s), as well as the overall goal for this funding opportunity. This section should describe the method(s), techniques, and tools that will be used to:

- 1) determine whether or not the proposed interventions achieved anticipated outcomes, and
- 2) document the “lessons learned” – both positive and negative - from the project.

A component of the evaluation plan should include a discussion of how “success” will be defined and measured.

Organizational Capacity

In this Section, applicants will describe their overall knowledge, skills, and abilities to carry out the proposed project.

Organizational Capacity

Each application should include an organizational capability statement. The organizational capability statement should describe how the applicant agency (highest state court or the particular division of the highest state court which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. If appropriate, include an organization chart showing the relationship of the project to the current organization. An organizational chart can be included as an attachment to the project narrative and will not count towards the narrative page limit. This section should include a discussion of any current or previous relevant experience and/or the record of the project team in carrying out comparable work.

Qualifications

This description should cover qualifications, current or previous relevant experience/expertise, and/or the record of the key project staff that demonstrates the extent of knowledge of, and experience with, key aspects of the project. Include information about any contractual organization(s) or persons that will have a significant role(s) in implementing the project and achieving project goals. Please attach short vitae for key project staff only. Vitae or resumes should be included as attachments, and will not count towards the narrative page limit.

Project Management

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

will be used to monitor and track progress on the project's tasks and objectives.

Throughout the entire grant period, ACL expects the Project Director will be a demonstrated expert in the guardianship system in applicant's state, and have substantial knowledge about and involvement in all aspects of the project. In addition, ACL expects the applicant organization and the project director to be meaningfully and substantively involved in the project. Finally, this funding opportunity should not serve as a "conduit" or "pass through" for funding.

Project Deliverables and Dissemination

Applications should describe what deliverables and products they expect to produce through, and as a result of, this grant, and how they envision those deliverables will increase the field's knowledge and capacity.

*Please Note: In addition to any grantee-proposed deliverables, all grantees under the Elder Justice Innovation Grants program must submit to ACL a final report, document, or briefing paper that is of professional quality for dissemination and sharing that discusses the funded project, its results, and implications and suggestions for furthering the knowledge base on the topic addressed. This deliverable does not replace, but is in addition to, the final project report required by HHS grants policy for all recipients of grant funding.

ACL expects that nationwide dissemination of products and knowledge will occur, and ACL will facilitate dissemination of information by posting to ACL-hosted websites. In addition to this method, applicants should propose approaches to informing parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, especially to those parties who would be interested in replicating a project, policy, initiative, etc.

Bibliography/Works Cited

This section will not count towards the page limit.

Applicants must document all 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 use numbers, ideas, or other material that is not their own. If the applicant fails to comply with this requirement, regardless of the severity or frequency of the plagiarism, the reviewers shall reduce their scores accordingly even to the degree of issuing no points at all.

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

Budget Narrative/Justification

This section will not count towards the page limit.

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. Accordingly,

applications must include a budget for each of the 3 years of this project. Applicants may select their own format or may use the template included in the attached document “Budget Narrative/Justification – Sample Format.” Regardless of the format used, applicants are encouraged to pay particular attention to the attached template document, which provides an example of the level of detail sought.

Because the proposal must demonstrate a clear and strong relationship between the stated objectives, project activities, and the budget, applicants are encouraged to include a *narrative budget justification* that summarizes the cost estimated per proposed project, activity, or product. This budget justification is helpful for reviewers in assessing the reasonableness of the type and amount of work that is planned, and what the applicant expects to be produced/achieved for the overall cost.

Project Work Plan

This section will not count towards the page limit.

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover each of the three (3) sequential years of the project period. It should include a statement of the project’s overall goal(s), anticipated outcome(s), key objectives, and the major tasks/action steps that will be pursued to achieve the goal and outcomes. 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. The attached document “Project Work Plan - Sample Template” may be used and referenced as a resource.

Letters of Commitment from Key Participating Organizations and Agencies

This section will not count towards the page limit.

Letters of Commitment are required from the following (1-3 below are per Title XX of the Social Security Act, Subtitle B, the Elder Justice Act of 2009, Section 2042(c)(2)-(3)):

1. the State Unit on Aging;
2. the State Adult Protective Services agency;
3. the Chief Judge;
4. any organization or entity that has been specifically named to carry out any aspect of the project.

The letters of commitment must be on the letterhead of the committing agency, must specify the role and resources/activities that will be provided in support of the applicant’s project, and must be signed. The organization’s expertise, experience, and access to targeted population(s), if applicable, should also be described in the letter of commitment.

Letters of Commitment are different from “Letters of Support.” Letters of Support are letters that are general in nature that speak to the writer’s belief in the capability of an applicant to accomplish a goal/task. Letters of support also may indicate an intent or interest to work together in the future. However, letters of support generally lack the specificity required of Letters of Commitment. Moreover, the author of a Letter of Support may not be identified by the work plan as a core/key partner or collaborator. Letters of Support are not required, and they will not be

scored.

Signed letters of commitment should be scanned and included as attachments in your application package.

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

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

- At the <https://www.grants.gov> website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process because of the time involved to complete the registration process.
- All applicants must have a UEI number and be registered with the System for Award Management (SAM, www.sam.gov) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Effective June 11, 2018, when registering or renewing your registration, you must submit a notarized letter appointing the authorized Entity Administrator. Please be sure to read the FAQs located at www.sam.gov to learn more. Applicants should allot sufficient time prior to the application deadline to finalize a new, or renew an existing registration. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: <https://www.sam.gov/SAM/pages/public/help/samQUserGuides.jsf>.

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

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

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

- The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. By April of 2022, the federal government will stop using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. They will no longer have to go to a third-party website to obtain their identifier. This transition allows the government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government. If your entity is registered in SAM.gov today, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records. To learn how to view your Unique Entity ID (SAM) go to this help [article](#).
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.
- After you electronically submit your application, you will receive an automatic 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>.

4. Submission Dates and Times

Due Date for Applications 05/06/2022

05/06/2022

Date for Informational Conference Call:

03/30/2022

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

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

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

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

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

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

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

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

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

Informational Conference Call: March 30, 2022 - 4:00-5:00pm EST

Join on your computer or mobile app

https://teams.microsoft.com/l/meetup-join/19%3ameeting_MDI4MzM3YjAtZmFmMi00Y2IzLTNmY2MtZjBhNmM0MzBkYjcx%40tHread.v2/0?context=%7b%22Tid%22%3a%22d58addea-5053-4a80-8499-ba4d944910df%22%2c%22Oid%22%3a%22546faba1-b40b-4e77-a60d-f62d8933df2a%22%7d

Or call in (audio only)

[+1 206-420-5032](tel:+12064205032), [119840390](tel:+119840390)# United States, Seattle

Phone Conference ID: 119 840 390#

Find a local number here: <https://dialin.teams.microsoft.com/0b344225-e9fc-4de5-9663-43f89dc0c0ca?id=119840390>

5. Intergovernmental Review

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

6. Funding Restrictions

The following activities are not fundable:

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

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

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

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

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

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

7. Other Submission Requirements

Letters of intent should be emailed to: Administration for Community Living, Office of Elder Justice and Adult Protective Services, ATTN: Mr. Sandy James sandy.james@acl.hhs.gov

V. Application Review Information

1. Criteria

Applications are scored by assigning a maximum of 100 points across five criteria. These scoring categories track with the organization of the Project Narrative described in Section IV.2 above.

1. Project Relevance & Current Need (10 points)
2. Approach (40 points)
3. Special Target Populations (5 points)
4. Project Outcomes, Evaluation, & Impact (15 points)
5. Organizational Capacity (10 points)
6. Budget (20 points)

Project Relevance & Current Need

Maximum Points: 10

Is the proposal relevant to the intent, goals, and objectives of this funding announcement, as described in Section I? Does the proposed project clearly and adequately identify the current issues in the statewide guardianship system the proposal intends to address? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge about guardianship, evidence-based practices, circumstances within the state, and/or new and cutting-edge research?

Approach

Maximum Points: 40

Are the project's *goals and objectives* clearly identified, and are they consistent with the purpose, goals, and objectives of the funding opportunity? If the applicant proposed objectives in addition to those identified by ACL in Section I, are the additional objectives relevant to the goals of this funding opportunity as outlined in Section I?

Are the *activities and/or approaches* clearly defined and aligned to the goals and objectives? Does the application justify the selected/proposed activities and approaches? Does the application describe how the proposed activities will be carried out? Does the proposal reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcomes, goals, and objectives? Does the application describe the criteria, methods, and frequency the applicant will employ to meet the objectives? Does the project account for barriers and opportunities that exist in the larger environment that may impact the project's success?

Is the project *work plan* clear and comprehensive and cover each of the three (3) years of the project sequentially? Does it include sensible and feasible timeframes for the accomplishment of tasks presented? Does the work plan include specific objectives and tasks that link to measurable outcomes? Does the proposal include a clear and coherent management plan? Are

the roles and responsibilities of project staff, consultants, and partners clearly defined and linked to specific objectives and tasks?

Will the *dissemination* plan get relevant and easy to use information in a timely manner to parties that might be interested in making use of them? Does the applicant reflect knowledge of current best practices in using technology, social media platforms and communication tools to reach the project's goals? Does the applicant clearly state what information, tools and systems change the project will achieve?

Special Target Populations

Maximum Points: 5

Does the application describe whether, and if so, how, the proposed intervention will target hard-to-reach populations, including limited-English speaking populations, those of greatest economic need, those of greatest social need, and/or underserved and underrepresented groups? Does the application reflect ACL's commitment to advancing equity, racial justice, and equal opportunity? Does the proposed approach identify and involve in a meaningful way stakeholder groups that are critical for the success and sustainability of the project? If other, community-based organizations will be involved, does the application demonstrate that the organization/s will be involved in a meaningful way in the planning and implementation of the proposed project?

Project Outcomes, Evaluation, and Impact

Maximum Points: 15

Are the proposed *outcomes* quantifiable and measurable, consistent with the definition of a project outcome as described in Section III of the funding opportunity announcement and as contained in "Project Work Plan – Sample Template?" Are the anticipated outcomes likely to be achieved, and will they significantly benefit the elder justice field? Does the logic model adequately demonstrate that the proposed approach will lead to the desired outcomes and impact identified in the proposal?

Does the project *evaluation* reflect a thoughtful and well-designed approach that will be able to successfully measure whether the project has achieved its proposed outcome(s)? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture "lessons learned" from the overall effort that might be of use to the field, especially those who might be interested in replicating the project?

Are the expected project benefits and *impact* clear, realistic, and consistent with the objectives and purpose of the project, as well as with this funding opportunity? If the project is successful, will it have a significant impact, and/or add to the body of knowledge related to legal services delivery for older adults)? Is there a realistic plan to continue some or all project activities after grant-provided federal financial assistance has ended?

Organizational Capacity

Maximum Points: 10

Does the applicant organization clearly identify their *capacity* for carrying out the proposed project and evaluation? Does the applicant demonstrate overall knowledge, skills, and abilities to carry out the proposed project? Is it clear how

the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work, and/or the capabilities it possesses, and do these demonstrate the ability for the applicant to successfully complete the

project?

Do the proposed project director(s), key staff, and consultants have the background, experience, and other *qualifications* required to carry out their designated roles? Do they demonstrate expertise in adult maltreatment issues? Does the project team have a record with prevention, intervention, and/or response to adult maltreatment projects, interventions, and programs?

Is the applicant agency *significantly and meaningfully involved* in carrying out the project? Is there a clear delineation of the roles and responsibilities of project staff, consultants, and partner organizations? Does the application describe how partner organizations will contribute to achieving the project's objectives and outcomes? Does the applicant specify who would have day-to-day responsibility for key tasks such as leadership of project; monitoring the project's on-going progress; preparation of reports; communications with other partners and ACL? Is the approach that will be used to monitor and track progress on the project's tasks and objectives reasonable and feasible?

Does the project director have significant experience with guardianship, and will he/she work on this project in a significant capacity? Are the proposed project director(s), key staff, and consultants dedicating an appropriate amount of time to fulfill their obligations to the project? Are Letters of Commitment from participating organizations included, as appropriate, and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions?

Budget

Maximum Points: 20

Is the budget justified with respect to the *adequacy and reasonableness* of resources requested? Are budget line items clearly delineated and consistent with work plan objectives (i.e., a clear and strong relationship between the stated objectives, project activities, the work expected to be performed, and what it will cost)? Is the time commitment of the proposed director and other key project personnel, as reflected in the budget, sufficient to assure proper direction, management, and timely completion of the project? Is a three (3) year budget included that covers the entire proposed project period, as well as a budget covering each individual year?

Bibliography/Works Cited

Maximum Points: 0

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

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.

3. Anticipated Announcement Award Date

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

The anticipated project period start date for this announcement is: 09/01/2022

VI. Award Administration Information

1. Award Notices

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

2. Administrative and National Policy Requirements

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

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age and, in some circumstances, religion, conscience, and sex. This includes ensuring programs are accessible to persons with limited English proficiency. The HHS

Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. Please see the appendix for this announcement to review the entire policy and guidelines. For additional information, please visit the website.

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

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

3. Reporting

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

4. FFATA and FSRS Reporting

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

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

VII. Agency Contacts

Project Officer

First Name:

Sandy

Last Name:

James

Phone:

202-795-7387

Office:

Office of Elder Justice and Adult Protective Services

Grants Management Specialist

First Name:

Richard

Last Name:

Adrien

Phone:

202-795-7332

Office:

Office of Grants Management

VIII. Other Information

Application Elements

- SF 424, required – Application for Federal Assistance (See “Instructions for Completing Required Forms” for assistance).
- SF 424A, required – Budget Information. (See Appendix for instructions).
- Separate Budget Narrative/Justification, required (See “Budget Narrative/Justification - Sample Format” for examples and “Budget Narrative/Justification – Sample Template.”)

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

- SF 424B – Assurance, required. Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).
- Lobbying Certification, required.
- Proof of non-profit status, if applicable
- Copy of the applicant’s most recent indirect cost agreement or cost allocation plan, if requesting indirect costs. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.
- Project Narrative with Work Plan, required (See “Project Work Plan – Sample Template” for a formatting suggestions).
- Vitae for Key Project Personnel.
- Letters of Commitment from Key Partners.
- Logic Model (see Example).

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

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

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

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

number, and email address (Required) of the person to contact on matters related to this application.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Standard Form 424A

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

Section A - Budget Summary

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

Section B - Budget Categories

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

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

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

Section C - Non-Federal Resources

Column A: Enter the federal grant program.

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

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

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

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

Section D - Forecasted Cash Needs

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

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

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

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

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

Column A: Enter the federal grant program

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

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

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

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

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

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

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

Separate Budget Narrative/Justification Requirement

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

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

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

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

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

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

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

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

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

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

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

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

Line 6f: **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.

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

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

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

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

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

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

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

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

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

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

c. Standard Form 424B – Assurances (required)

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

d. Certification Regarding Lobbying (required)

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

Proof of Nonprofit Status (as applicable)

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

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

Indirect Cost Agreement

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

Budget Narrative/Justification- Sample Format

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

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

					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.														

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.

Logic Model Example	
Impact	In the Impact section, the applicant describes the fundamental change occurring in organizations, communities or systems as a result of project activities over multiple years. For example, reduce the rate of repeated abuse in the community.
Outcomes – Short & Long Term	In the Outcomes section, the applicant describes the specific changes that occur because of the intervention. Changes can be in participants’ behavior, knowledge, and skills. Changes may be divided into Short-term and Long-term i.e. months to multiple years depending on the intervention.
Outputs	In the Outputs section, the applicant describes the expected direct results of the project that show evidence of the delivery of the intervention. For example, number of people served in target populations, number of hours of counseling services provided or number of trainings held.
Activities	In the Activities section, the applicant would describe/summarize the events or actions the project does with the resources to address the problem. For example, provision of counseling services, provision of training, etc.
Inputs/Resources	In the Inputs and Resources section, the applicant would describe the Investments and resources available to the project to accomplish the set of activities, such as staff, project funding, intervention materials, expertise from community partners, resources from community partners, etc.
Contextual Factors and Assumptions	In the Contextual Factors and Assumptions section, the applicant would list relevant risk and protective factors for abuse, neglect and exploitation from intervention research as well as state or other data the applicant may be relying upon. These can be specific to the target population(s) the applicant is focusing upon.

