Administration for Community Living

Center for Innovation and Partnership

Senior Medicare Patrol State Project Grants
HHS-2023-ACL-CIP-MPPG-0006
02/15/2023

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ACL Center:
Center for Innovation and Partnership
Funding Opportunity Title:
Senior Medicare Patrol State Project Grants
Funding Opportunity Number:
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Due Date for Applications:
02/15/2023
Date for Informational Conference Call:
12/19/2022
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

You are invited to a Zoom webinar.
When: Dec 19, 2022 04:00 PM Eastern Time (US and Canada)
Topic: Senior Medicare Patrol State Grant Notice of Funding Opportunity: Informational Call

Register in advance for this webinar:
https://hhsacl.zoomgov.com/webinar/register/WN_cGFYSqmuRUObFeav1CtJcg

I. Funding Opportunity Description

SMP Mission

The mission of the SMP program is to empower and assist Medicare beneficiaries to prevent, detect, and report health care fraud, errors, and abuse through outreach, counseling, and education. To further this mission, all SMP program activities are organized around four strategic program objectives:

1. Provide group education and one-on-one assistance to Medicare beneficiaries on a statewide basis, with a specific emphasis on those with greatest need.
2. Recruit, train, and retain a diverse, sufficient, effective, and representative workforce equipped to provide high-quality education and one-on-one support.
3. Monitor and assess SMP results through operational and quality measures.
4. Position SMP to nimbly and effectively respond to changes in the programmatic landscape.

Program History

The Department of Health and Human Services Office of Inspector General (HHS-OIG) estimates that Medicare loses billions of dollars each year due to errors, fraud, and abuse. The 1997 Senate Report 104-368 noted that "senior citizens are our best front-line defense against these losses, but they often don't have the information and experience needed" to recognize and accurately report cases of error, fraud, and abuse. These losses are due, to a considerable extent, to the many ways in which the funds are disbursed as well as to the sheer magnitude surrounding the dynamics of healthcare expenditures. Both factors increase the probability of errors while opening wider opportunities for fraud and abuse.

To address this growing issue the Health Care Fraud and Abuse Control (HCFAC) Program was created to coordinate federal, state, and local law enforcement activities with respect to healthcare fraud and abuse. Now in its 25 year of operation, the HCFAC Program continues to demonstrate its success in protecting beneficiaries by identifying and prosecuting the most egregious instances of healthcare fraud and preventing future fraud and abuse. As partner in these efforts ACL administers the Senior Medicare Patrol (SMP) program which funds a nationwide network of local community-based partners and team members to provide outreach and education to Medicare beneficiaries about how to prevent, detect, and report healthcare fraud. The SMP program plays an important role in the broader HCFAC Program by focusing on community outreach and Medicare beneficiary empowerment with the goal of stopping fraud before it occurs.

SMP Program Today

ACL funds 54 state SMP projects, including grantees in all 50 states, the District of Columbia, Puerto Rico, Guam, and the US Virgin Islands. The SMP projects use this funding to provide local outreach, education, and assistance to Medicare beneficiaries through a trained volunteer and in-kind workforce. SMP projects teach Medicare beneficiaries to take proactive steps to protect themselves and the Medicare program from potential fraud, errors, and abuse. SMP projects actively disseminate fraud prevention and identification information through the media, outreach campaigns, community events, and one-on-one beneficiary support. SMPs help individuals and their loved ones understand how to review their health care statements and bills for accuracy, as well as how to identify and avoid potential fraud schemes. If suspicious activity is identified or suspected, SMPs can help answer questions, resolve errors, or report suspicious activity for further investigation.

One key role of the SMP projects is to assist beneficiaries by referring potential fraud complaints on to other investigate entities, as appropriate. This process can include facilitating referrals to the Department of Health and Human Services (HHS)-Office of Inspector General (HHS-OIG), the Centers for Medicare & Medicaid Services (CMS), Federal Bureau of Investigations (FBI), Federal Trade Commission (FTC), state Medicaid fraud control units (MFCUs), state attorneys general, and other organizations. Capturing SMP program activity data is also a key function of the projects, including tracking, analyzing, and reporting of beneficiary complaints, referrals, potential savings, and other outcomes.

Annual OIG Report on SMP Program

Each year, the HHS-OIG completes an annual performance report on the SMP projects. In 2021, the 54 SMP projects had a total of 5,346 active team members who conducted a total of 12,660 group outreach and education events, reaching an estimated 556,980 people. In addition, the projects had 239,625 individual interactions with, or on behalf of, Medicare beneficiaries.

According to the annual OIG Report, the program has educated over 44 million beneficiaries since its inception through 491,000 group education and outreach sessions. The true value of the program and primary focus of SMP grantee work is on education, prevention, and teaching beneficiaries how to protect themselves and avoid fraud in the first place. The impact of these education and prevention activities is extremely difficult to quantify in dollars and cents. As HHS-OIG indicated in their 2022 report on the SMP program:

We note that the projects may not be receiving full credit for recoveries, savings, and cost avoidance attributable to their work. It is not always possible to track referrals to Medicare contractors or law enforcement from beneficiaries who have learned to detect fraud, waste, and abuse from the projects. In addition, the projects are unable to track the potentially substantial savings derived from a sentinel effect whereby Medicare beneficiaries' scrutiny of their bills reduces fraud and errors.

The SMP program has been extremely effective in its mission to protect Medicare beneficiaries, their family members, and caregivers against fraud, errors, and abuse. However, not all beneficiaries obtain access to available SMP services. One of the populations identified as being most vulnerable to falling victim to fraud, errors, and abuse are those who are uninformed about available supports. To address this systemic inequity, the White House released an Executive Order on Diversity, Equity, Inclusion, and Accessibility in the Federal Workforce in June 2021. To further advance equity within the Federal Government, this order established that it was the policy of the Administration to cultivate a workforce that drew from the full diversity of the Nation. HHS and ACL took immediate steps to ensure that federal staff and grantees' priorities included an intentional diversity, equity, and inclusion focus in order to strengthen their existing programmatic efforts. These aspects are reflected throughout this funding opportunity.

Strategic Program Objectives

Applicants must address each of the following strategic program objectives as part of their project narrative to further the goal of preventing Medicare fraud:

1. Provide group education and one-on-one assistance to Medicare beneficiaries on a statewide basis, with a specific emphasis on those with greatest need.
2. Recruit, train, and retain a diverse, sufficient, effective, and representative workforce equipped to provide high-quality education and one-on-one support.
3. Monitor and assess SMP results through operational and quality measures.
4. Position SMP to nimbly and effectively respond to changes in the programmatic landscape.

Project narratives should propose specific goals and activities to address each component of the four strategic program objectives as follows:

1. **Provide group education and one-on-one assistance to Medicare beneficiaries on a statewide basis, with a specific emphasis on those with greatest need.** Applicants must describe a comprehensive plan to achieve statewide SMP coverage. Statewide coverage means the applicant must have the capacity to provide SMP services, including group education and one-on-one assistance, in each county, parish, or borough within the state or territory. In the project narrative, applicants must:
    1. Demonstrate knowledge of the geographic service area, including barriers to program access and strategies specifically designed to overcome these barriers.
    2. Identify populations with greatest historical and current need within the state or territory, any barriers to program access specific to these populations, and plans for addressing those barriers.
    3. Explain plans to provide one-on-one assistance, both in-person and virtually. Applicants must describe the types and levels of service to be provided as well as the approaches to achieve or enhance services, such as the development of web sites and web-based strategies, the use of toll-free lines, ability to flexibly shift to atypical service provision as public need requires, and/or the development of sub-grants, contracts, or partnerships with other local, regional, or statewide organizations.
    4. Explain plans to provide in-person group education sessions to teach beneficiaries to prevent, detect, and report Medicare fraud, errors, and abuse. Applicants must describe the types and levels of service to be provided, as well as the approaches to achieve or enhance services, such as the development of sub-grants, contracts, or partnerships with other local, regional, or statewide organizations.
    5. Describe plans to build on existing partnerships and the development of new partnerships to establish a strong network to deliver SMP services. Examples of potential partners could include, but are not limited to:

    - Other local or state programs receiving ACL funding to provide services to older adults and people with disabilities, including but not limited to: State Health Insurance Assistance Programs (SHIPs), Long-Term Care Ombudsman programs, Elder Abuse Prevention programs, Benefits Enrollment Centers, Centers for Independent Living (CILs), Aging and Disability Resource Centers/No-Wrong Door (ADRC/NWD), Assistive Technology programs, Traumatic Brain Injury Programs, State Councils on Developmental Disabilities, State Protection and Advocacy Systems, Nutrition Services, Chronic Disease Self-Management Programs, and Legal Assistance programs.
    - Local, state, and national organizations within the law enforcement and health care networks which may include state attorneys general, state MFCUs, CMS, HHS-OIG, FBI, and FTC.
    - Partnerships to intentionally focus on reaching those in greatest need of assistance such as:
        - Organizations or groups who have demonstrated previous success in focusing on diversity, equity, inclusion, and/or accessibility
        - Organizations or groups who have expertise focused around cultural competency and/or intentionally serving those in greatest need.

6. Outline a statewide media and outreach plan based on a preliminary assessment of state and national health care fraud trends and issues, including focus on targeting those in greatest need of SMP program services and those traditionally underserved.

2. **Recruit, train, and retain a diverse, sufficient, effective, and representative workforce equipped to provide high quality education and one-on-one support.** Applicants must provide a plan to ready a nimble workforce to provide high quality service to beneficiaries including, but not limited to, the following:
    1. Describe a plan to initially and continually train and certify all SMP team members (staff, in-kind, and volunteers) with the information necessary to perform the work of the SMP program:
        - At the most basic level including:
            - Basic mission and functions of the SMP program;
            - Medicare basics; and
            - Health care fraud, errors, and abuse.
        - At a more advanced workforce training level including:
            - Development of effective skills in conducting educational presentations and outreach;
            - Resolution of beneficiary inquiries and complaints;
            - Referrals for further action, when appropriate; and
            - Understanding and implementation of cultural competency and inclusion practices and activities to ensure equitable access to SMP program services.

- The training plan should also cite the training materials and resources to be used to achieve the training objectives. **NOTE:** The National SMP Resource Center develops and provides training materials that are available for use to all successful SMP awardees. Non-incumbent applicants may contact the SMPRC for access to basic training-related material information.
- Minimum initial and ongoing training requirements, knowledge testing, and certification of all SMP team member roles must be clearly defined by the grantee and consistently applied to all team members

2. Describe a plan to recruit, retain, and manage paid, volunteer, and in-kind team members throughout the state. The plan should include implementation of ACL's Volunteer Risk and Program Management (VRPM) policies and the ACL Conflict of Interest guidance for the SHIP, SMP, and MIPPA Programs. Identifying and appropriately managing risks related to team member involvement and service delivery is an important aspect of effective program management. Proposals should include approaches to ensure team members are:
   - Appropriately recruited and screened to ensure ability to perform assigned duties and to identify potential conflicts of interest;
   - Thoroughly trained to provide effective service, and enhance the quality of the SMP program;
   - Consistently provided ongoing supervision, management, and support to ensure the safety, integrity, and professionalism of the SMP workforce;
   - Habitually compliant with procedures and practices to ensure that confidentiality of program information is maintained; and
   - Supported to ensure retention and continued high morale.

In every case, applicants should propose activities that will effectively employ the unique skills, varied experiences, good will, and availability of team members in assisting beneficiaries to become more educated about Medicare fraud, errors, and abuse.

ACL's VRPM policy and procedure resources are available on ACL's website: https://acl.gov/programs/senior-medicare-patrol/volunteer-risk-and-program-management-vrpm-policies. The VRPM policies provide a framework that allows each individual SMP project to have the flexibility and responsibility to develop volunteer risk and program management policies and procedures. NOTE: Any new (non-incumbent) SMP project grantees will receive a reasonable amount of time to implement these policies. Successful non-incumbent applicants will be asked to negotiate this timeline with ACL individually after awards are made.

ACL's Conflict of Interest: Identification, Remedy, and Removal guidance found here: https://acl.gov/programs/senior-medicare-patrol/managing-conflicts-interest-ship-smp-and-mippa-programs. This guidance was developed to provide technical assistance to the SMP, SHIP, and Medicare Improvements for Patients and Providers Act (MIPPA) programs and their community-based partners on how to avoid actual and perceived conflicts of interest and mitigate risk.

3. Monitor and assess SMP results through operational and quality measures.

ACL requires SMP projects to use the SMP data system, known as the SMP Information and Reporting System (SIRS), to collect, track, assess, and measure program performance data. SIRS data is summarized annually in an HHS-OIG report titled Performance Data for the Senior Medicare Patrol Projects. Recent reports are available on ACL's website: https://acl.gov/programs/protecting-rights-and-preventing-abuse/senior-medicare-patrol-smp

Applicants must describe plans to comply with SMP reporting requirements including:

1. Timely data entry of SMP activities into SIRS, including one-on-one interactions with beneficiaries, group education and outreach events, media education and outreach events, SMP team members, and SMP team member activities.

2. Participation in quality assurance activities:

- Successful applicants must participate in an SMP Customer Satisfaction Survey which requires evaluation of both one-on-one interactions and group education events. To satisfy this requirement SMPs will be asked to:
    - Ensure proper collection and reporting of beneficiary information so ACL may conduct post-service satisfaction surveys of a random sample of SMP clients.
    - Periodically administer pre- and post- surveys at group education events, as requested by ACL. Each SMP project will be surveyed twice annually.
- Describe any additional quality assessment activities proposed outside the required surveys described above.
- Ongoing performance management, including regular assessment of progress toward goals and objectives, growth areas and obstacles, and strategies for performance improvement on the SMP performance measures listed below, as well as any other applicant-identified measures of success. Applicants are expected to provide a plan to continually assess gaps in program reach in order to strengthen provided services

Performance Measure (PM)	Definition
1. TOTAL NUMBER OF ACTIVE SMP TEAM MEMBERS	Total number of individuals who spent time on the SMP program, including SMP-paid, in-kind paid, and volunteer team members
2. TOTAL NUMBER OF SMP TEAM MEMBER HOURS	Total number of hours contributed by team members while performing SMP work and receiving training to perform SMP work, including time spent by SMP-paid, in-kind paid, and volunteer team members
3. NUMBER OF GROUP	Total number of community outreach events, education activities, and presentations to educate beneficiaries,

Performance Measure (PM)	Definition
OUTREACH AND EDUCATION EVENTS	family members, caregivers, and others about SMP services and detecting health care fraud, errors, and abuse
4. ESTIMATED NUMBER OF PEOPLE REACHED THROUGH GROUP OUTREACH AND EDUCATION EVENTS	Total estimated number of people reached as a result of SMP group outreach and education activities
5. NUMBER OF INDIVIDUAL INTERACTIONS WITH, OR ON BEHALF OF, A MEDICARE BENEFICIARY	Total number of individual interactions between SMP team members and beneficiaries, family members, caregivers, or others for the purpose of discussing or gathering information about potential health care fraud, errors, or abuse
6. COST AVOIDANCE ON BEHALF OF MEDICARE, MEDICAID, BENEFICIARIES, OR OTHERS	Health care expenditures for which the government, a beneficiary, or other entity was relieved of responsibility for payment
7. EXPECTED MEDICARE RECOVERIES	Actual and expected Medicare recoveries from criminal actions, settlements, civil judgments, or overpayments that resulted from the referral. Includes recoveries associated with a project's referral that resulted in the opening of an investigation or where the SMP made a meaningful contribution to an existing investigation
8. ADDITIONAL EXPECTED MEDICARE RECOVERIES	Actual and expected Medicare recoveries from criminal actions, settlements, civil judgments, or overpayments that resulted from the referral. Includes recoveries associated with a project's referral to an existing investigation where the SMP's information validated existing information
9. EXPECTED MEDICAID RECOVERIES	Actual and expected Medicaid recoveries from criminal actions, settlements, civil judgments, or overpayments that resulted from the referral. Includes recoveries associated with a project's referral that resulted in the opening of an investigation or where the SMP made a meaningful contribution to an existing investigation

Performance Measure (PM)	Definition
10. ADDITIONAL EXPECTED MEDICAID RECOVERIES	Actual and expected Medicaid recoveries from criminal actions, settlements, civil judgments, or overpayments that resulted from the referral. Includes recoveries associated with a project's referral to an existing investigation where the SMP's information validated existing information
11. ACTUAL SAVINGS TO BENEFICIARIES	Amount of money recouped to beneficiaries
12. OTHER SAVINGS	Amount of money recouped to an entity other than Medicare, Medicaid, or a beneficiary

4. **Position SMP to nimbly and effectively respond to changes in the programmatic landscape.**

Applicants must propose a plan to adapt to changes in the programmatic landscape, such as the increasing Medicare beneficiary population, changes in the geographic distribution of beneficiaries, changes in public health need, varied beneficiary needs by age, and traditionally underserved populations that may need additional assistance understanding how to prevent, detect, and report Medicare fraud, errors, and abuse. Specifically, applicants must:

1. Identify any anticipated changes in the programmatic landscape and explain how these changes will be addressed by the SMP project;
2. Address readiness to nimbly and effectively shift as unanticipated changes in the programmatic landscape are identified;
3. Describe the target populations to be served, including;
    1. identifying the target populations and the reasons why the applicant has chosen to target the specific populations;
    2. addressing barriers in access or provision of program services to the target populations; and
    3. detailing proposed innovative and collaborative methods to reach the target populations.

Statutory Authority

The statutory authority for grants under this program announcement are contained in HIPAA of 1996 (PL 104-191); (Catalog of Federal Domestic Assistance 93.048) and Older Americans Act, Title 42 U.S.C.

II. Award Information

Funding Instrument Type:
CA (Cooperative Agreement)

Estimated Total Funding:
$27,000,000

Expected Number of Awards:

56
Award Ceiling:
$1,700,000
Per Budget Period

Award Floor:
$90,000
Per Budget Period

Length of Project Period:
60-month project period with five 12-month budget periods

Additional Information on Project Periods and Explanation of 'Other'
ACL plans to fund up to 56 new SMP projects under this award for a total project period of five (5) years, comprised of five (5) budget periods. All awards will be made contingent upon the availability of federal funds.

To maximize limited SMP funding and achieve national program coverage, it is necessary to limit the number of SMP grantees to one (1) per state, district, or territory. By eliminating duplicative or overlapping awards to more than one organization within a state, ACL not only maximizes national program coverage, but ensures greater equity in allocation of SMP services to Medicare beneficiaries, regardless of their state of residence.

ACL anticipates awarding SMP funding using the following funding formula:

1. SMP Base Grant Award
    - Funding of up to $230,000 per budget period for all 50 states, the District of Columbia, and Puerto Rico
    - Funding of up to $95,000 per budget period for Guam and the U.S. Virgin Islands
    - Funding of up to $50,000 American Samoa and the Commonwealth of the Northern Mariana Islands
2. Additional SMP funding
    - Additional SMP funding allocated to successful applicants based on the following formula:
        i. 80% of the remaining funds available distributed based on the total Medicare beneficiary population in each state/territory;
        ii. 10% of the remaining funds available distributed based on the population of rural Medicare beneficiaries in each state/territory; and
        iii. 10% of the remaining funds available distributed based on the population of Medicare beneficiaries with limited income in each state/territory.

ACL will rerun this formula annually once the total funding availability for the SMP project grants has been established for the fiscal year. ACL will notify grantees of the state funding amounts as soon as possible each year. At which time ACL will request annual budgets from applicants/grantees. Grantees will be able to adjust their budgets accordingly on an annual basis.

For this Funding Announcement each applicant must submit a 424 and 424A based on the FY

2023 estimates listed below.

The funding amounts below were derived using the formula outlined above. Applicants are only eligible for the funding amount associated with their state as listed below:

State/Territory Estimated Budgets for FY2023

Alabama	$	499,856.00
Alaska	$	259,642.00
Arizona	$	533,646.00
Arkansas	$	433,278.00
California	$	1,663,076.00
Colorado	$	444,985.00
Connecticut	$	380,290.00
Delaware	$	276,840.00
District of Columbia	$	250,487.00
Florida	$	1,278,249.00
Georgia	$	667,468.00
Hawaii	$	299,641.00
Idaho	$	328,309.00
Illinois	$	745,852.00
Indiana	$	546,379.00
Iowa	$	435,886.00
Kansas	$	382,309.00
Kentucky	$	539,932.00
Louisiana	$	441,764.00
Maine	$	341,863.00
Maryland	$	457,652.00
Massachusetts	$	525,979.00
Michigan	$	736,582.00
Minnesota	$	498,848.00
Mississippi	$	464,044.00
Missouri	$	558,075.00
Montana	$	337,837.00
Nebraska	$	336,697.00
Nevada	$	353,866.00
New Hampshire	$	325,889.00
New Jersey	$	583,553.00
New Mexico	$	349,586.00

New York	$	1,052,531.00
North Carolina	$	747,406.00
North Dakota	$	278,707.00
Ohio	$	801,432.00
Oklahoma	$	447,804.00
Oregon	$	441,158.00
Pennsylvania	$	852,415.00
Rhode Island	$	279,565.00
South Carolina	$	491,120.00
South Dakota	$	293,414.00
Tennessee	$	585,599.00
Texas	$	1,238,335.00
Utah	$	323,834.00
Vermont	$	301,978.00
Virginia	$	594,437.00
Washington	$	546,418.00
West Virginia	$	361,334.00
Wisconsin	$	550,411.00
Wyoming	$	283,504.00
1 Guam	$	99,170.00
2 Puerto Rico	$	414,440.00
3 Virgin Islands	$	109,564.00
4 CNMI	$	52,147.00
5 American Samoa	$	53,492.00

COOPERATIVE AGREEMENT
These awards will be new cooperative agreements. ACL will be substantially involved in the SMP project activities. The terms and conditions for this cooperative agreement are as follows and will be incorporated, by reference, in the Notice of Award (NOA).

ACL Project Officer and/or OHIC team/leadership will execute the responsibilities of the cooperative agreement as listed below:

1. Perform the day-to-day federal responsibilities of managing this grant initiative and work with the grantee to ensure that the necessary requirements for the grant are met.
2. Assist the grantee project leadership in understanding the policy concerns and/or priorities of ACL by conducting periodic briefings and by carrying out ongoing, regular consultations.
3. Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the project. If issues are identified, they will work with the grantee to revise the project work plan, detailing expectations for major activities and products.

4. Provide technical advice to the grantee related to the fulfillment of the goals and objectives of this grant.
5. Review and provide technical advice on grantee work products.
6. Provide consultation to the grantee in identifying emerging issues as they relate to the goals and objectives of this grant program.
7. Work with the grantee on the development and implementation of evaluation and quality assurance systems to ensure that performance is measured, and continuous improvement occurs.
8. Attend and participate in major project events, as appropriate.
9. Act as representative for the national SMP program, as appropriate.

The Grantee will execute the responsibilities of the cooperative agreement as listed below:

1. Participate in ACL education and communication activities, including teleconferences, webinars, and monthly meetings to discuss grant-related activities and programmatic budgetary concerns.
2. Share information with ACL, fellow SMP projects, and other national, state, and local partner organizations, as appropriate. Common sharing activities include attending and participating in monthly SMP Networking calls, regular check-in calls with assigned OHIC Project Officer, monthly calls with the CMS SMP/SHIP Liaisons and other HHS regional grantees, uploading materials to the SMP Resource Library, and otherwise disseminating best practices and challenges.
3. Participate in training opportunities:
    a. Attend the Annual SMP/SHIP/MIPPA National Conference. A portion of the grant award shall be designated for travel expenses to this event. Attendees must include the SMP Program Director and/or a designee. Grantees are required to send at least one person to this event annually and are encouraged to send additional appropriate program representation to utilize OHIC's attendee allowance and maximize learning.
    b. All new SMP directors are required to attend the new director orientation and training provided by ACL and the SMP National Resource Center as soon as possible following appointment. This includes attendance at any in-person or virtual training required for new directors by ACL.
    c. All SMP team members are required to meet minimum initial and ongoing training requirements, knowledge testing, and certification standards as clearly defined by ACL and state grantee.
    d. Grantees must adhere to ACL guidance related to Conflict of Interest (COI) and Volunteer Risk and Program Management (VRPM) policies.
    e. Additionally, grantees are expected to use grant funds to send appropriate staff to other pertinent trainings provided by ACL, CMS, or other federal/state partners to ensure staff maintain a comprehensive understanding of grant expectations, Medicare knowledge to appropriately manage the grant, and potential fraud trends.

4. Maintain a customer-oriented and user-friendly toll-free telephone number for use by Medicare-eligible individuals for SMP-related inquiries. Maintain a dedicated, up-to-date, publicly available webpage and online presence. Respond timely to all public

requests, whether received directly or referred through national contact means and routed to their assigned state.

5. Collect and input project performance data into the SMP data system in a timely manner, in accordance with ACL guidelines and training.
6. Coordinate with ACL and other federal partners to handle all outstanding SMP-related cases in a timely manner.
7. Establish and/or nurture ongoing relationships with SHIP and MIPPA directors within the state to ensure continued communication about program overlap and opportunities to partner.
8. Follow processes required by ACL and CMS regarding the use and management of 1-800-MEDICARE Unique IDs. This includes maintaining the required trainings, certifications, and documentation necessary to maintain active Unique ID(s).
9. Include the express acknowledgment on all SMP related or funded public information materials, including those developed or disseminated by funding subrecipients. This language should read, "This project is 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 $x with 100 percent funding by ACL/HHS. 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.." (HHS Grants Policy Statement: http://www.hhs.gov/grants/grants/grants-policies-regulations/index.html).
10. Use the national SMP logo and tagline on all SMP publications and products, in accordance with up-to-date program branding requirements.
11. Never represent SMP nationally without detailed discussion and express prior approval by ACL.

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

III. Eligibility Information

1. Eligible Applicants

For FY 2023 the below guidance is provided to advance the Administration's policy, as stated in E.O. 13985, to "pursue a comprehensive approach to advancing equity for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality." This guidance is intended to begin to address inequities in HHS programs, processes, and policies that may serve as barriers to equal opportunity. By advancing equity in our NOFOs, we can "create opportunities for the improvement of communities that have been historically underserved, which benefits everyone."

Domestic public or private non-profit entities including state governments; county governments; city or township governments; special district governments; public and state controlled institutions of higher education; Native American tribal governments (Federally recognized); Native American tribal organizations (other than Federally recognized tribal governments);

nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education; Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education; or private institutions of higher education.

Under this competition, ACL plans to fund fifty-six (56) SMP projects for a 60-month project period.

2. Cost Sharing or Matching

Cost Sharing / Matching Requirement:
No
For awards that do not require matching or cost sharing by statute, recipients are not expected to provide cost sharing or matching. However, recipients are allowed to voluntarily propose a commitment of non-federal resources. If an applicant decides to voluntarily contribute non-federal resources towards project costs and the costs are accepted by ACL, the non-federal resources will be included in the approved project budget. The applicant will be held accountable for all proposed non-federal resources as shown in the Notice of Award (NOA). **A recipient's failure to meet the voluntary amount of non-federal resources that was accepted by ACL as part of the approved project costs and that was identified in the approved budget in the NOA, may result in the disallowance of federal funds. Recipients will be required to report these funds in the Federal Financial Reports.**

3. Responsiveness and Screening Criteria

Application Responsiveness Criteria
Application Responsiveness Criteria
Applications that do not meet the following responsiveness criteria will be administratively eliminated and will not be reviewed. The successful SMP applicant will be an organization that meets the following basic evaluation criteria:

1. Demonstrated expertise in implementation through collaboration and work with volunteers to achieve program objectives;
2. Technological capacity to implement the SMP web-based data collection, management tracking, and reporting system, known as SIRS; and
3. Organizational capacity to provide statewide virtual and in-person SMP program coverage.

Application Screening Criteria
All applications will be screened to assure a level playing field for all applicants. Applications that fail to meet the three screening criteria described below will not be reviewed and will receive no further consideration.
In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be submitted electronically via http://www.grants.gov; by 11:59 p.m., Eastern Time, by the due date listed in section IV.3 Submission Dates and Times.
2. The Project Narrative section of the Application must be double-spaced, sized 8 ½” x 11” with 1” margins on both sides, and a standard font size of not less than 11, preferably Times New Roman or Arial.

3. The Project Narrative must not exceed 20 pages. Project Narratives that exceed 20 pages will have the additional pages removed and only the first 20 pages of the Project Narrative will be provided to the merit reviewers for funding consideration. NOTE: The Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit.

Applicants seeking late submission approval must provide authenticated verification from http://www.grants.gov indicating system problems existed at the time of submission. For example, applicants will be required to provide an http://www.grants.gov submission error notification and/or tracking number 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 registration process can take several days. If your organization is not currently registered, please begin this process immediately. For assistance with https://www.grants.gov, please contact them at support@grants.gov or 800-518-4726 between 7:00 a.m. and 9:00 p.m. Eastern Time.

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

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

- Note: Failure to submit the correct EIN Suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) or receive subawards directly from the recipients of those grant funds to:

1. Register in SAM prior to submitting an application or plan;
2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
3. Provide its UEI number in each application or plan to submit to the OPDIV.

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

- The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. As of April of 2022, the federal government stopped using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. It is entered on the SF-424. It is a unique, nine-digit identification number, which provides unique identifiers of single business entities.
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.
- After you electronically submit your application, you will receive an automatic acknowledgment from https://www.grants.gov that contains https://www.grants.gov tracking number. The Administration for Community Living will retrieve your application form from https://www.grants.gov.

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

Rebecca Kinney
Center for Innovation and Partnership
Phone Number: (202) 795-7375
E-mail: Rebecca.Kinney @acl.hhs.gov

2. Content and Form of Application Submission
Letter of Intent

Due Date for Letter Of Intent 01/06/2023

01/06/2023
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
Rebecca Kinney
Office of Healthcare Information and Counseling
Washington, D.C. (202) 795-7375
Email: Rebecca.Kinney@acl.hhs.gov

Project Narrative

Project Narrative must be double-spaced, sized 8 ½” x 11” with 1” margins on both sides, and a standard font size of not less than 11, preferably Times New Roman or Arial. Smaller font sizes to fill in the Standard Forms and Sample Formats can be used. The suggested length for the Project Narrative is 10 to 20 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 Work Plan, Letters of Commitment, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections noted below are included in the limit.

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether or not the project meets the minimum requirements for grants under the authorizing statutes. The Project Narrative should provide a clear and concise description of the proposed SMP project. ACL recommends that the project narrative include the following components as part of the 20-page limit:

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

Summary/Abstract

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

Problem Statement

Describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect older adults and/or people with disabilities, identified state-specific marginalized communities, their families and caregivers, and the health care and social services systems.

Goals and Objectives

Describe the project’s goal(s) and major objectives. Unless the project involves multiple complex interventions, ACL recommends proposing only one overall goal. The proposed project goal(s) and objectives should be reflective of the priority activities discussed in SMP Strategic Program Objectives (see Section I).

Proposed Intervention

Provide a clear and concise description of the proposed intervention to address the problem described in the “Problem Statement.” Describe the rationale for using the particular intervention, including factors such as: “lessons learned” for similar projects previously tested in the targeted community(ies) or in other areas of the country; factors in the larger environment that have created the “right conditions” for the intervention (e.g., existing social or economic factors to take advantage of, etc.). Also note any anticipated major barriers, and how the proposed intervention will address those barriers.

Be sure to describe the role and makeup of any planned strategic partnerships in implementing the intervention, including other organizations, supporters, and/or consumer groups. This section should also provide a detailed plan for the management and operation of the SMP project. Plans must address the key elements discussed in Section I - "SMP Mission and Strategic Program Objectives," including:

1. Provide group education and one-on-one assistance to Medicare beneficiaries on a statewide basis.
2. Recruit, train, and retain a sufficient and effective workforce ready to provide high-quality education and one-on-one support.
3. Monitor and assess SMP results through operational and quality measures.
4. Position SMP to nimbly and effectively respond to changes in the programmatic landscape.

Special Target Populations and Organizations

Describe plans to involve organizations in a meaningful way in the planning and implementation of the proposed project. This section should also describe whether the proposed intervention will target commonly underserved populations and, if so, how.

Outcomes

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

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

The focus of this section is describing what outcome(s) will be produced by the project. Use the Evaluation section noted below to describe how the outcome(s) will be measured and reported.

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

As discussed in Section 1 under "SMP Mission and Strategic Program Objectives," ACL utilizes the SIRS data system to collect data, track, and measure a number of program outcomes. ACL will use program data contained in the SMP data system to assess SMP project progress in reaching SMP Strategic Program Objectives. Hence, applicant's plans should discuss expected outcomes and link these outcomes to the project priorities and activities provided in the "Proposed Intervention" upon which the outcomes are based.

Project Management

Clearly delineate 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 the key staff with day-to-day responsibility for key tasks such as leadership of project; monitoring the project's on-going progress; preparation of reports; and, communications with other partners and ACL. It should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives.

Evaluation

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

In addition, describe a plan for evaluating the effectiveness of the proposed SMP project in achieving project outcomes. As discussed, ACL utilizes SIRS to collect data, track, assess, and measure program outcomes. In addition, ACL will use data to assess SMP project progress in reaching SMP Strategic Program Objectives. Hence, applicant plans must discuss priorities, activities, and staff capacity to capture project performance data accurately and timely.

Dissemination

Describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats. Recipients could include parties interested in using the results of the project to inform practice, service delivery, program development, and/or policymaking; especially those parties who would be interested in replicating the project. Dissemination examples should include sharing information with ACL, the National SMP Resource Center, fellow SMP projects, and other national, state, and local partner organizations.

Budget Narrative/Justification

Use the format included in the document, "Budget Narrative/Justification – Sample Format." Applicants are encouraged to pay particular attention to this document, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required. ACL expects applicants to provide a thorough budget narrative for Year 1, as well as a plan for Years 2-5 using the provided Year 1 budget estimate.

Work Plan

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

Letters of Commitment from Key Participating Organizations and Agencies

Include confirmation of the commitments and key activities/work (not just lending support to the application) to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For applications submitted electronically via http://www.grants.gov, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may email them to Rebecca Kinney at Rebecca.Kinney@acl.hhs.gov. In your email, be sure to include the funding opportunity number and your agency name in the subject line.

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

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

- At the https://www.grants.gov website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process because of the time involved to complete the registration process.

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

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

- Note: Failure to submit the correct EIN Suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
- Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) or receive subawards directly from the recipients of those grant funds to:

1. Register in SAM prior to submitting an application or plan;
2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
3. Provide its UEI number in each application or plan to submit to the OPDIV.

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

- The Federal Government will transition from the DUNS Number to the New Unique Entity Identifier. As of April of 2022, the federal government stopped using the DUNS number to uniquely identify entities. At that point, entities doing business with the federal government will use a Unique Entity Identifier (SAM) created in SAM.gov. They will no longer have to go to a third-party website to obtain their identifier. This transition allows the government to streamline the entity identification and validation process, making it easier and less burdensome for entities to do business with the federal government. If your entity is registered in SAM.gov today, your Unique Entity ID (SAM) has already been assigned and is viewable in SAM.gov. This includes inactive registrations. The Unique Entity ID is currently located below the DUNS Number on your entity registration record. Remember, you must be signed in to your SAM.gov account to view entity records. To learn how to view your Unique Entity ID (SAM) go to this help article.

- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications. In accordance with the Federal Government's efforts to reduce reporting burden for recipients of federal financial assistance, the general certification and representation requirements contained in the Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs, and the Standard Form 424D (SF-424D) – Assurances – Construction Programs, have been standardized federal-wide. Effective January 1, 2020, the updated common certification and representation requirements will be stored and maintained within SAM. Organizations or individuals applying for federal financial assistance as of January 1, 2020, must validate the federally required common certifications and representations annually through SAM located at SAM.gov.
- After you electronically submit your application, you will receive an automatic acknowledgment from https://www.grants.gov that contains https://www.grants.gov tracking number. The Administration for Community Living will retrieve your application form from https://www.grants.gov.

4. Submission Dates and Times

Due Date for Applications 02/15/2023

02/15/2023

Date for Informational Conference Call:
12/19/2022
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.

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

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

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

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

5. Intergovernmental Review

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

6. Funding Restrictions

The following activities are not fundable:

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

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

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

or subsistence allowances. (Note: conference grant means the sole purpose of the award is to hold a conference.)

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

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

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

7. Other Submission Requirements

Letters of intent should be emailed to:
Rebecca.Kinney@acl.hhs.gov
Rebecca Kinney
U.S. Department of Health and Human Services
Administration for Community Living
Office of Healthcare Information and Counseling
Washington, DC

V. Application Review Information

1. Criteria

Applicants must document all of their source material. If any text, language and/or materials are from another source, the applicant must make it clear the material is being quoted and where the text comes from. The applicant must also cite any sources when they obtain numbers, ideas, or other material that is not their own. If the applicant fails to comply with this requirement, regardless of the severity or frequency of the plagiarism, the reviewers shall reduce their scores accordingly even to the degree of issuing no points at all. Applications are scored by assigning a maximum of 100 points across five criteria:

1. Project Relevance & Current Need (10 points)
2. Approach (40 points)
3. Budget (10 points)
4. Project Impact (25 points)
5. Organizational Capacity (15 points)

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

1. Does the proposal provide a detailed description in both quantitative and qualitative terms, of the nature and scope of the health care fraud control problems or issues within the state or territory that the proposed plan is designed to address? (3 points)
2. Does the application include a focus on diversity, equity, inclusion, and accessibility to ensure program services are accessible to those in greatest need of assistance and that beneficiaries’ needs are being continually met? (3 points)

3. Does the problem statement include a description of the demographics of the population(s) to be served and a discussion of potential barriers to program access? (4 points)

Approach **Maximum Points:** 40

Strategic Program Objective 1 (10 points)

Provide group education and one-on-one assistance to Medicare beneficiaries on a statewide basis, with a specific emphasis on those with greatest need.

1. Does the applicant demonstrate knowledge of the geographic service area and its populations of greatest need, including barriers to program access and strategies specifically designed to overcome these barriers? (3 points)
2. Does the proposal include a detailed description of how statewide program coverage will be implemented? (2 points)
3. Does the applicant thoroughly describe plans to provide one-on-one assistance, group education, and media outreach, as well as any plans to build on existing partnerships and the development of new partnerships to establish a strong network to deliver SMP services? (3 points)
4. Has the applicant described how they will ensure that program services will be accessible to all Medicare beneficiaries in their state/territory including those that have been historically hard-to-reach? (2 points)

Strategic Program Objective 2 (10 points)

Recruit, train, and retain a diverse, sufficient, effective, and representative workforce equipped to provide high quality education and inquiry resolution.

1. Does the proposal include a description of plans to recruit, train, retain, and manage a diverse team of volunteers, paid staff, and in-kind partners throughout the state? (4 points)
2. Does the proposal plan include an approach for implementing and managing the Volunteer Risk and Program Management (VRPM) policies and procedures as outlined by ACL? (2 points)
3. Does the proposal detail a training plan to equip all team members with the information necessary to perform SMP work in a culturally appropriate and accessible manner? (2 points)
4. Does the application target partnerships with groups focusing on diversity, equity, inclusion, and accessibility to ensure program services are accessible to those in greatest need of assistance and that beneficiaries' needs are being continually met? (2 points)

Strategic Objective 3 (10 points)

Monitor and assess SMP results through operational and quality measures.

1. Does the proposal include plans to monitor and assess ongoing SMP results through operational and quality measures? (3 points)
2. Does the proposal include plans to ensure timely data entry of SMP activities into SIRS? (2 points)
3. Does the applicant include plans for ongoing performance management, including regular assessment of progress toward goals and objectives, growth areas and obstacles,

and strategies for performance improvement based on the SMP performance measures? (3 points)
4. Does the application include a plan to continually assess gaps in program reach to strengthen provided services? (2 points)

Strategic Objective 4 (5 points)
Position SMP to respond nimbly and effectively to changes in the programmatic landscape.

1. Does the proposal include plans to position SMP to nimbly and effectively respond and react to unanticipated changes in the programmatic landscape? (3 points)
2. Does the applicant identify target populations to be served and innovative methods to reach those populations? (2 points)

Work Plan (5 points)

1. Is the project work plan clear, comprehensive, and for the appropriate timeframe? Does it include key task leaders, roles of staff/partners, and feasible timeframes for the accomplishment of tasks presented? (3 points)
2. Does the work plan include specific goals and tasks that are linked to measurable outcomes? (2 points)

Budget **Maximum Points:** 10

1. Is the budget justified with respect to the adequacy and reasonableness of resources requested? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management, and timely completion of the project? Does the budget include funding for program services that ensure accessibility to those in greatest need of services (6 points)
2. Did the applicant provide a clear budget justification for Budget Year 1? Are strategies clearly outlined under each without duplication? Are budget line items clearly delineated and consistent with work plan objectives? (4 points)

Project Impact **Maximum Points:** 25

1. Does the proposal clearly identify the measurable program outcome(s) that will result from the project? Are the expected outcomes linked to the priorities of the SMP Strategic Program Objectives? (10 points)
2. Does the proposal include measurable outcomes that follow the provided definition, as opposed to simply including measurable outputs? (5 points)
3. Does the proposal contain a plan for evaluating the effectiveness of the proposed activities in achieving project outcomes? Does the plan discuss the method(s) to be used to disseminate the project's results to the National SMP Resource Center and the SMP network? (5 points)
4. Does the proposal include measurement of impact targeting those in greatest need? (5 points)

Organizational Capacity **Maximum Points:** 15

1. Are the roles and responsibilities of project staff, contractors and key partners delineated, including how they will contribute to implementation of the proposed project? Do the brief vitae of the proposed project director, key staff, and consultants reflect the

background, experience, and other qualifications required to carry out designated SMP roles and responsibilities, particularly project direction, team member management, data tracking and reporting, and SMP outreach and education? (5 points)

2. Do letters of commitment document roles of key partners, including strategies to reach identified target populations and the specific role, commitment, and resources/activities in support of the project's effort from each collaborating organization? (5 points)
3. Has the applicant demonstrated capability to manage a statewide program? Has the organization demonstrated that they are fiscally stable? (5 points)

2. Review and Selection Process

This section may vary in the level of detail provided. The announcement must list any program policy or other factors or elements, other than merit criteria, that the selecting official may use in selecting applications for Federal award (e.g., geographical dispersion, program balance, or diversity). The HHS awarding agency may also include other appropriate details. For example, this section may indicate who is responsible for evaluation against the merit criteria (e.g., peers external to the HHS awarding agency or HHS awarding agency personnel) and/or who makes the final selections for Federal awards. If there is a multi-phase review process (e.g., an external panel advising internal HHS awarding agency personnel who make final recommendations to the deciding official), the announcement may describe the phases. It also may include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that conflicts of interest are avoided. With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each HHS awarding agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

In addition, if the HHS awarding agency permits applicants to nominate suggested reviewers of their applications or suggest those they feel may be inappropriate due to a conflict of interest, that information should be included in this section.

For any Federal award under a notice of funding opportunity, if the HHS awarding agency anticipates that the total Federal share will be greater than the simplified acquisition threshold on any Federal award under a notice of funding opportunity may include, over the period of performance (see § 75.2 Simplified Acquisition Threshold), this section must also inform applicants:

i. That the HHS awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);

ii. That an applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that the HHS awarding agency previously entered and is currently in the designated integrity and Page 22 of 41 performance system accessible through SAM;

iii. That the HHS awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, 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 § 75.205.

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: 06/01/2023

VI. Award Administration Information

1. Award Notices

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

2. Administrative and National Policy Requirements

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

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

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

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

3. Reporting

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

4. FFATA and FSRS Reporting

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (http://www.FSRS.gov) for all sub-awards and sub-contracts issued for $30,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

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

VII. Agency Contacts

Project Officer

First Name:

Rebecca

Last Name:

Kinney

Phone:

202-795-7375

Office:

202-795-7375

Grants Management Specialist

First Name:

Katherine

Last Name:

Feiring

Phone:

202-795-7442

Office:
202-795-7442

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.
- 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, if applicable.

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

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

Appendix

Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

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

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

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

Instructions for Completing Required Forms

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

a. Standard Form 424

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

- Preapplication
- Application

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

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

- New
- Continuation
- Revision

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

https://www.house.gov/

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

18. **Estimated Funding:** (REQUIRED) If requesting multi-year funding, enter the full amount requested from the Federal Government in line item 18.a., as a multi-year total. For example and illustrative purposes only, if year one is \$100,000, year two is \$100,000, and year three is \$100,000, then the full amount of federal funds requested would be reflected as \$300,000. The amount of matching funds is denoted by lines b. through f. with a combined federal and non-

federal total entered on line g. Lines b. through f. represents contributions to the project by the applicant and by your partners during the total project period, broken down by each type of contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

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

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

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

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

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

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

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

Standard Form 424A

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

Section A - Budget Summary

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

Section B - Budget Categories

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

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

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

Section C - Non-Federal Resources

Column A: Enter the federal grant program.

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

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

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

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

Section D - Forecasted Cash Needs

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

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

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

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

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

Column A: Enter the federal grant program

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

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

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

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

Section F – Other Budget Information

Line 21: Enter the total Indirect Charges

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

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

Separate Budget Narrative/Justification Requirement

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- *Meals are generally unallowable except for the following:*
- *For subjects and patients under study(usually a research program);*

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

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

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

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

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

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

c. Standard Form 424B – Assurances (required)

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

d. Certification Regarding Lobbying (required)

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

Proof of Nonprofit Status (as applicable)

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

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

Indirect Cost Agreement

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

Budget Narrative/Justification- Sample Format

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

Object Class Category	**Federal Funds**	**Non-Federal Cash**	**Non-Federal In-Kind**	**TOTAL**	**Justification**
Personnel	$47,700	$23,554	$0	$71,254	**Federal**

					Project Director (name) = .5 FTE @ $95,401/yr = $47,700 **Non-Fed Cash** Officer Manager (name) = .5FTE @ $47,108/yr = $23,554 **Total** 7 1,254
Fringe Benefits	$17,482	$8,632	$0	$26,114	**Federal** Fringe on Project Director at 36.65% = $17,482 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%) **Non-Fed Cash** Fringe on Office Manager at 36.65% = $8,632 FICA (7.65%) Health (25%) Dental (2%) Life (1%) Unemployment (1%)
Travel	$4,707	$2,940	$0	$7,647	**Federal** Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles $2,457 Lodging: 15 days @ $110/day $1,650 Per Diem: 15 days @ $40/day $600 Total $4,707 **Non-Fed Cash**

					Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ $500 $1,500 Lodging: 3 days x 3 staff @ $120/day $1,080 Per Diem: 3 days x 3 staff @ $40/day $360 Total $2,940
Equipment	$10,000	$0	$0	$10,000	No Equipment requested OR: Call Center Equipment Installation = $5,000 Phones = $5,000 Total $10,000
Supplies	$3,700	$5,670	$0	$9,460	**Federal** 2 desks @ $1,500 $3,000 2 chairs @ $300 $600 2 cabinets @ $200 $400 **Non-Fed Cash** 2 Laptop computers $3,000 Printer cartridges @ $50/month $300 Consumable supplies (pens, paper, clips etc…) @ $180/month $ 2,160

					Total $9,460
Contractual	$30,171	$0	$0	$30,171	(organization name, purpose of contract and estimated dollar amount) Contract with AAA to provide respite services: 11 care givers @ $1,682 = $18,502 Volunteer Coordinator = $11,669 Total $30,171 *If contract details are unknown due to contract yet to be made provide same information listed above and:* A detailed evaluation plan and budget will be submitted by (date), when contract is made.
Other	$5,600	$0	$5,880	$11,480	**Federal** 2 consultants @ $100/hr for 24.5 hours each = $4,900 Printing 10,000 Brochures @ $.05 = $500 Local conference registration fee (name conference) = $200 Total $5,600 **In-Kind** **Volunteers** 15 volunteers @ $8/hr for 49 hours = $5,880
Indirect Charges	$20,934	$0	$0	$20,934	21.5% of salaries and fringe = $20,934 IDC rate is attached.
TOTAL	$140,294	$40,866	$5,880	$187,060	

Budget Narrative/Justification - Sample Template

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

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

Project Work Plan - Sample Template

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

Goal:

Measurable Outcome(s):

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

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

5.														
6.														

NOTE: Please do note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Instructions for Completing the Project Summary/ Abstract

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

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

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

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

Products - materials, deliverables.

- A model abstract/summary is provided below:

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

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

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

1. Project Director.

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

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