The Indiana State Department of Health (ISDH) Health Care Quality and Regulatory Commission is inviting grant applications for projects designed to reduce deficient practices in nursing homes in Indiana or improve quality of life for nursing home residents in Indiana. The ISDH periodically offers grants as part of the CMS Civil Money Penalty (CMP) Fund. The ISDH administers this fund for the State of Indiana. This Request for Grant Applications provides information about the grant opportunity.

**Summary of Grant Opportunity**

GRANT NUMBER:  ISDH CMP 2018-08

DATE OF RELEASE:  July 6, 2018

GRANT OPPORTUNITY TITLE:  Using Music and Biomarkers to Improve Quality of Life in Long Term Care

APPLICATION DEADLINE:  Grant Applications must be received by August 3, 2018, at 5:00 p.m. EST.

DESCRIPTION of GRANT OPPORTUNITY:  The ISDH is inviting grant applications for the expansion of music interventions in nursing homes throughout the state as a means of improving the quality of life of nursing home residents through meaningful activities that improve resident engagement.
Request for Grant Applications
Application Requirements and Process

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1. Eligibility

Any association, organization, agency, or academic institution is eligible to apply for this grant opportunity. Applicants must demonstrate a clear understanding of the requested services and program requirements. Applicants must demonstrate the capability and capacity to provide the proposed services.

Applicants must be in a position to operate on a cost-reimbursement basis, accept electronic funds transfer (EFT), and become an Indiana registered vendor prior to billing for services. Individuals not operating within an established organization, agency, business or other entity are not eligible to apply for this grant opportunity.

In order to enter into a legal agreement to do business with the state, entities are required to complete the following:

a. Completion of the following forms for Indiana Auditor of State vendor registration
   ii. Direct Deposit Form located at: https://forms.in.gov/Download.aspx?id=11695
b. Completion of Indiana Department of Administration bidder profile registration located at: http://in.gov/idoa/2464.htm
c. Completion of a Business Entity Report with the Indiana Secretary of State, located here: https://inbiz.in.gov/BOS/Home/Index
2. Purpose of Grant

"Nothing activates the brain so extensively as music."
~ Dr. Oliver Sacks

The purpose of this Request for Grant Applications is to improve the quality of life of nursing home residents through the use of music interventions. Studies suggest that the music of one’s youth continues to be relevant to individuals throughout their life and serves as a positive support. Music and other expressive arts have been successfully used as a non-pharmacologic intervention for individuals diagnosed with Alzheimer’s disease or other related dementias. Music increases engagement that may have assist in the reduction of fall, behaviors, and prescription drug use. Even more simply, music may just bring enjoyment to individuals resulting in improved quality of life.

Indiana has been a national leader in developing music and expressive arts as an intervention in nursing homes. In September 2014, the ISDH hosted the Association of Healthcare Facility Survey Agencies (AHFSA) Annual Meeting. Keynote speakers at the conference included the topic of music and art in aging.

In 2014 the Butler University School of Music began to explore uses of music in science, social sciences, and public health. The scientific exploration included physics, psychology, biology, sociology, language, ethnomusicology, and applied research in public health. The Butler University School of Music created a course on Neuro-Musical Experience. One purpose of the course was to give students the opportunity to explore uses of music in public health. An additional benefit was to give students the opportunity to learn about public health and healthcare.

The Butler University School of Music assembled an interdisciplinary team to create a pilot project on the use of music in caring for individuals with dementia. In 2014 the University conducted a pilot titled That’s My Music. The pilot was conducted at a nursing home and included 24 residents. A second pilot, titled Music First, was conducted in 2015 at another nursing home and included 104 residents.

On October 22, 2015, the ISDH hosted a Healthcare Quality Leadership Conference focusing on expressive arts. There were approximately 760 healthcare professionals in attendance. The conference served as a kickoff for expressive arts and music projects planned for 2016.

In April 2016 the ISDH and University of Indianapolis Center for Aging & Community began a project on the use expressive arts in long term care. The project developed a continuing education course on expressive arts specific to nursing home. The course was provided regionally throughout the state. The project concluded in April 2018.

In August 2016 the ISDH and Butler University created a two-year project to pilot and study the use of recorded music in improving dementia care and quality of life. The project provided I-pods to residents with personally designed playlists. Butler University students participated by
developing the playlists and studying resident responses. The project resulted in a number of significant findings and the successful introduction of music experiences into nursing homes. The project concludes in October 2018.

Music and expressive arts programs have been introduced in a number of facilities over the past two years. Some of these programs were introduced as part of the music and expressive arts projects while others were introduced as a project included in regional collaborative groups. Some corporations have also begun to include as part of their programing. The response has been very positive with music and other expressive arts providing a meaningful activity for residents.

The ISDH is committed to supporting the development of projects that promote high standards. It is important that projects are effectively designed around evidence-based protocols utilizing QAPI principles. In particular, the ISDH would like to continue its focus on improving quality of life for nursing home residents. The recent music, expressive arts, and dementia care projects highlighted the benefits of a resident-focused approach designed to improve resident engagement.

Our goal is to achieve a positive perception of aging by residents, families, and caregivers.

These most recent projects were essentially pilot projects designed to create and test tools and education programs. Because the tools, resources, or protocols needed to develop effective programs had not been developed, the projects focused on studying the issues and developing a plan to effectively implement. In some situations, there were existing tools or programs but those programs had not been validated nor had protocols been defined and tested. Through development and testing, the projects created a well-designed plan for implementation.

Through studying issues, the projects identified a number of variables that need additional development. For example, there was evidence that the noise levels in facilities was high which created problems for residents with diminished hearing capacity. The question was how to create an improved acoustical environment. A second question involved delivery methods. Past models utilized I-pods as the music source. While a few facilities include live music in their programming, the question was whether this is effective and how to create an acceptable acoustical setting along with appropriate music to include. The ISDH is creating two new projects that will address those questions.

3. Description of Requested Services

The use of music as an intervention or merely for pleasure is an important tool towards resident engagement. There are a number of new and remaining challenges that need to be studied. The purpose of this project is to address those challenges to include:

- Prior project utilized I-pods as the hardware for delivering music. I-pods are no longer manufactured. New technology provides challenges and opportunities for improving the music experience.
- While there is evidence that music improves engagement, questions remain. How can it be determined whether the specific music is making a difference at a specific time? Could
biomarkers be used to improve assessment? Past projects created one playlist. Could technology be used to improve the music playlist building process? How to facilitate downloading of music into a device? Can prompting be built into a system?

- Healthcare staffing is a current challenge to include the training of new staff. The lack of training contributes to the abuse of residents. Could music be used to improve staff job satisfaction and reduce abuse?
- How can support be provided to statewide groups wishing to implement a music program?

The ISDH is seeking one or more applicants to study issues surrounding music and biomarkers as a means for improvement nursing home resident engagement and quality of life. Projects may be large or small in scope to incorporate one or all components or additional ideas. The ISDH will consider up to three-year projects. Applicants are expected to demonstrate how funding will be used to benefit the quality of care and quality of life of nursing home residents.

The following are potential project components of interest to the ISDH:

- The desired substantive outcome is an improved quality of life for nursing home residents through meaningful music activities that increase resident engagement.
- Grantee is expected to have considerable experience in music, sound, aging, project design and management, data design and analysis, outcome measurement, and education and training.
- Project is expected to incorporate an understanding of Alzheimer’s disease and other related dementias.
- The ISDH is interested in expansion of recorded music interventions into a number of nursing homes and improvement of music intervention implementation protocols. While any study component might have a limited number of facilities, the ISDH is interested in promoting the broader extension of music interventions.
- The ISDH is interested in providing information and promoting music interventions to families and caregivers of nursing home residents. A possibility could be a project to provide training to resident advocates and organizations. Projects are expected to address how residents and families will be incorporated into the project.
- The ISDH is interested in a music project that studies and develops a process for addressing hardware and software challenges identified through previous projects. A process outcome could be piloting a new hardware and technology and development of effective protocols for use. Another process outcome is a method for using technology to improve the playlist building process.
- The ISDH is interested in the use of biomarkers to improve the assessment and delivery of music interventions in a nursing home. A process outcome could be development of biomarker protocols for implementation of music interventions.
- The ISDH is interested in a project that will study how music can be used to enhance and improve staffing to promote staff job satisfaction and reduction of resident abuse. A process outcome could be a protocol of how music and/or other expressive arts could be safely used in daily activities as an intervention in reducing stress. The project is
expected to contribute to an improved skilled healthcare workforce by improving training and the workplace environment.

- Project will provide support for statewide education and training on implementation of music into long term care. This could include development of education and training materials as well as in-person presentations.
- Project will result in recommendations for further study and implementation in advancement of substantive outcomes.
- The ISDH is interested in qualitative findings as well as quantitative process outcomes.
- Project will provide an annual report and a comprehensive project report at the conclusion of the project.

4. Summary of Funding

a. Funding Information
   i. The ISDH does not expect any grant award to exceed $850,000 for this grant opportunity.
   ii. The ISDH invites applications for projects of any size and scope. Applicants may request funding up to the total amount allocated or lesser amounts for smaller projects.
   iii. This funding opportunity is for a maximum of three (3) years. The proposal(s) may be submitted and/or approved for a period of less than three (3) years.
   iv. Once the ISDH preliminarily selects a proposal for grant funding, the ISDH sends the proposal to the Centers for Medicare and Medicaid Services (CMS) for approval. CMS must approve the proposal prior to final selection and contracting.

b. Funding Limitations
   i. None of the funding may be used for the purchase of food or beverages.
   ii. All awards and disbursement of funds under this Request for Grant Applications are contingent upon availability of funds to the ISDH and at the discretion of the ISDH.
   iii. ISDH reserves the right to not approve or to partially fund any proposal applying under this Request for Grant Applications.

5. Application and Review Schedule

The following is a preliminary timeline for the application and review process. The timeline is tentative and subject to change at any time.

<table>
<thead>
<tr>
<th>Event:</th>
<th>Date:</th>
<th>Time (if applicable):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for Grant Applications released</td>
<td>07/06/2018</td>
<td></td>
</tr>
</tbody>
</table>
Potential applicants are welcome to ask questions about the grant opportunity. The ISDH will review each question and post answers on the CMP Project Center web page. Questions should be sent to bgarten@isdh.IN.gov.

6. Application Instructions

a. General Submission Requirements
   i. Each page of the proposal must be numbered sequentially.
   ii. The application must follow the format and order presented in this guidance. Applications that do not follow this format and order will not be reviewed.
   iii. All sections of the application must be submitted. Applications missing required sections will not be reviewed.

b. Application Deadline
   i. Applications must be submitted electronically to: bgarten@isdh.IN.gov.
   ii. Complete applications must be submitted no later than August 3, 2018. Applications submitted after that date will not be reviewed.

7. Application Content

OVERVIEW

The application must contain the following content:

1. Applicant information page
2. Abstract of proposal
3. Grant proposal
a. Background information on project
b. Information on grantee capabilities and capacity
c. Project team
d. Project timeline
e. Project description
   i. Overview
   ii. Project goals
   iii. Project objectives
   iv. Project description and measures
   v. Project deliverables
f. Expected outcomes
g. Outcome measures
h. Sustainability
i. Non-supplanting
j. Benefits to nursing home residents
k. Consumer and stakeholder involvement

4. Attachments
   a. Budget
   b. Organization chart
c. Bio-sketches of key staff
d. Letter of commitment from any subcontractors
e. Copy of HHS Indirect Cost Agreement (if college or university)

PROPOSAL COVER

The application is not required but may have a front and/or back cover page for the proposal. Some applications include their logo or other design components as part of a cover.

APPLICANT INFORMATION PAGE

The first page of the application serves as the applicant information page. The page is intended to provide information about the applicant and identify which grant opportunity the application is for. The applicant must complete all items listed below:

- ISDH’s name of grant opportunity and grant number for which the application is being submitted
- Applicant’s name for proposed project
- Name of entity / organization submitting proposal
- Address (Street, City, State, Zip Code)
- Name and title of contact person
• Contact person’s phone number
• Contact person’s e-mail address
• Organization’s federal employer identification number
• Name, title, and contact information for person authorized to sign contract
• Total number of pages in the proposal

ABSTRACT OF PROPOSAL

The applicant must provide an abstract of the proposal. The abstract is intended to provide a brief summary of the proposed project. The abstract should provide the reviewer a succinct and clear overview of the proposed project.

GRANT PROPOSAL

BACKGROUND INFORMATION ON PROJECT

The applicant must include a discussion of the issue that the project intends to address. This includes a statement of the problem and its impact on nursing home residents. The discussion may include an overview of research or studies on the issue, existing models or programs designed to address the problem, data on the issue, and prior projects or initiatives and their success.

INFORMATION ON GRANTEE CAPABILITIES AND CAPACITY

This section is intended to enable reviewers to gain a clear understanding of your organization and its ability to carry out the proposed project. The following are items that would be relevant to this section:

• Provide a brief history of the organization and capability, experiences, and major accomplishments implementing the same or similar projects as those proposed in this application.

• Describe the administrative structure of the organization within which the project will function, including an organizational chart that clearly identifies all proposed services.

• If you are partnering with any other organizations, explain the history of this partnership.
• Discuss the applicant organization’s previous or current work related to the proposed service(s).

• Describe organizational capacity and plans to provide services and activities specific to the project. This should include any specific subject matter expertise.

• Describe resources available (within the applicant entity and its partner organizations) for the proposed project (e.g., facilities, equipment).

• Identify project locations and discuss how they will be an asset to the project.

PROJECT TEAM

This section is intended to identify the Project Director and key individuals involved in the project and the organization structure for the project. The narrative should:

• Provide the organization of the Project Director and key individuals and organizations involved in the project.

• Identify key staff and/or collaborative partners that will be responsible for implementing the proposed activities and their responsibilities, knowledge, skills, and expertise.

• Identify the organization(s), agency(ies), or program(s) that will be involved in the project. For each entity, specify the type of involvement, such as sharing resources, conducting joint activities, collaboration with training, or additional funding source.

• Include bio-sketches of key individuals providing a description of their qualifications for the project. These may be included as an attachment rather than in the narrative.

PROJECT TIMELINE

This section is intended to provide an estimated timeline of key activities and deliverables in the project.

PROJECT DESCRIPTION

1. OVERVIEW

This section is intended to provide a brief overview of the project and participants. The applicant must provide the overall plan and process for the project.
2. PROJECT GOALS

This section is intended to identify project goals. Project goals should relate to the intended ultimate outcomes. The number of goals is likely no more than two or three goals for a project.

3. PROJECT OBJECTIVES

This section is intended to identify project objectives. An objective is generally a specific result that the project desires to achieve within a provided time frame and resources. Objectives are basic tools that underlie all planning and strategic activities.

4. PROJECT DESCRIPTION

This section is intended to describe the proposed project. The proposed project description and measures must tie directly to the proposed goals and objectives. The following are potential areas of discussion to be included:

- Identify the evidence based or promising practice(s) to be implemented and discuss how it addresses the purpose, goals and objectives of the proposed project. Cite sources of evidence.

- Identify and justify any modifications or adaptations to the evidence-based or promising practice that are proposed (or have already been made) to the proposed practice(s) to meet the goals of the project and why it is believed the changes will improve the outcomes.

- Discuss the evidence that shows that this practice is effective with the population(s) of focus.

- Describe how the proposed practice(s) will be implemented.

- Describe how the populations of interest will be identified, recruited and retained. Using knowledge of beliefs, norms and values, and socioeconomic factors of the population of focus, discuss how the proposed approach addresses these issues in outreaching, engaging, and delivering programs to this population (e.g. collaborating with community gatekeepers).
• Summarize what the applicant hopes to achieve through implementation of your selected strategy/strategies.

• Identify and describe your relationships with collaborative partners.

• Describe how collaborative relationships are utilized (goals, activities) and maintained.

5. PROJECT ACTIVITIES

In this section, the applicant must provide project activities. These activities should be based on thresholds, events, activities, outcomes, or other identifiable criteria. These activities are generally used in the resulting grant contract as the basis for reimbursement / funding.

One of the project activities will be the submission of periodic reports. Periodic reports are generally required annually with a comprehensive final project report required at the conclusion of the project.

EXPECTED OUTCOMES

This section is intended to identify intended project outcomes. The outcomes should be based on the project goals.

OUTCOME MEASURES

This section is intended to provide a description of the methods by which the project outcomes will be assessed. The applicant must provide specific measures as part of the project quality assurance, performance improvement, and project evaluation plan. All applicants are required to collect data for reporting purposes. This information must be collected on an on-going basis and reported quarterly and annually. In this section, the applicant organization must document its ability to collect and report on the required priority measurements.

Applicants should include the following information to include responsible staff and frequency:
• Describe plan for data collection. Specify all instruments to be used and specifically describe current collection efforts and plans to expand (as needed) to prioritize measurements.

• Describe plan for data analysis.

• State well-defined outcome measures that you will use to evaluate progress toward meeting each of your stated objectives.

• Describe how those measures will be monitored.

SUSTAINABILITY

This section is to describe the plan for sustaining the project goals once the project is completed. The proposal should describe how that will be accomplished.

NON-SUPPLANTING

CMP funds may not supplant existing reimbursement requirements. This section is intended to provide a description of the manner in which the project will not supplant existing responsibilities of the nursing home to meet existing Medicare/Medicaid requirements or other statutory and regulatory requirements.

BENEFITS TO NURSING HOME RESIDENTS

This section is intended to provide a brief description of the manner in which the project will benefit nursing home residents.

CONSUMER AND STAKEHOLDER INVOLVEMENT

This section is intended to provide a description of how the nursing home community (including resident and/or family councils and direct care staff) will be involved in the development and implementation of the project.

ATTACHMENTS
A. BUDGET

The applicant must provide a proposed budget for the project. The budget must include the specific amount of funding to be used for the project, the time period of that use, and an estimate of any non-CMP grant funds that the grantee expects to be used in the project. The budget justification must provide the categories and amounts of expenditures for the project sufficient to identify budget for key thresholds and activities. The budget must include any fees or costs that will be charged to participants.

The budget may not include funding for items prohibited by federal requirement to include the following:

- No funding may be used for the purchase of food or beverages.
  - While no funds from this grant may be used for food or beverages, a project may obtain external funding from organizations or other entities to pay for food or beverage. A project may also charge a registration fee to pay for food and beverage.
- Travel costs must not exceed federal or state travel allowances, whichever is the least. This includes the federal and state mileage rates. In general, lodging is not allowed for travel of less than fifty (50) miles.

CMS prohibits certain uses of CMP funds as follows:

- Project length: Projects are intended to be short term projects. Projects longer than three years will not be approved.
- Conflict of interest: Projects for which a conflict of interest exists or the appearance of a conflict of interest exists will not be approved.
- Ineligible recipients: There are no categorically-approved uses of CMP funds for a nursing facility that was cited in its previous standard survey with immediate jeopardy or harm at deficiency level H or I.
- Duplication: Funds may not be used to pay entities to perform functions for which they are already paid by State or federal sources.
- Capital improvements: Funds may not be used to pay for capital improvements to a nursing home.
- Nursing home services or supplies: Funds may not be used to pay for nursing home services or supplies that are already the responsibility of the nursing home.
- Temporary manager salaries: Funds may not be used to pay the salaries of temporary managers who are actively managing a nursing home.
- Expansion of statutory programs: Funds may not be used to update a State’s Long Term Care Ombudsman Program’s consumer education materials, or recruit or train Ombudsman staff or volunteers, or investigate complaints.
B. ORGANIZATION CHART

The applicant may provide an organization chart for the sponsoring organization and the project organization.

C. BIO-SKETCHES OF KEY STAFF

Bio-sketches of key staff and organization partners may be included to provide a description of qualifications related to the project.

D. LETTERS OF COMMITMENT FROM ANY SUBCONTRACTORS

The applicant may include letters of commitment from any subcontractors or letters of support.

E. COPY OF HHS INDIRECT COST AGREEMENT (if college or university)

Indiana allows colleges or universities to charge for indirect costs if they have an U.S. Department of Health and Human Services (HHS) Indirect Cost Agreement. A copy of that agreement must be provided if the budget includes indirect costs.

8. Application Review Process

The application review process will be conducted by ISDH staff. Each application will be scored for technical merit and evaluated within the parameters set forth in this Request for Grant Applications. All applications will receive a point score of up to 100 points based on whether the project meets the goals of the ISDH, need for the project, probability of success, and how clearly and concisely the categories and requirements are addressed. The application with the highest score will be considered for funding under this grant opportunity. The point categories and potential scores are listed below:

<table>
<thead>
<tr>
<th>Application Component</th>
<th>Maximum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application Content Completeness</td>
<td>Pass / Fail</td>
</tr>
<tr>
<td>Application Cover Page</td>
<td>Pass / Fail</td>
</tr>
<tr>
<td>Abstract (topic and need for project)</td>
<td>20</td>
</tr>
<tr>
<td>Grantee Capabilities and Capacity</td>
<td>20</td>
</tr>
<tr>
<td>Project Description</td>
<td>20</td>
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<td>---------------------</td>
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<tr>
<td>Outcomes and Measures</td>
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</tr>
<tr>
<td>Sustainability</td>
<td>10</td>
</tr>
<tr>
<td>Benefit to Residents</td>
<td>10</td>
</tr>
<tr>
<td>Consumer and Stakeholder Involvement</td>
<td>10</td>
</tr>
<tr>
<td>Budget</td>
<td>10</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>110</strong></td>
</tr>
</tbody>
</table>

9. **Contract Award Process**

Any contracts resulting from this grant opportunity will be based upon a competitive review and award process. The ISDH will select agencies and organizations to fund with CMP funds based upon the results of the review process. If an applicant fails to finalize a contract within a reasonable time frame, the ISDH reserves the right to withdraw approval and fund another application.

10. **Contract Period and Ethical Considerations**

Following an award notification, applicants may be required to submit an amended Application and Budget in accordance with ISDH requirements. These documents will be utilized to develop the formal grant contract. A contract will then be established between ISDH and the funded grantee after CMS approval as indicated in Section 11 below. The contract period will begin on a date agreed to by both the ISDH and the grantee.

Upon contract execution, the grantee must agree to abide by all ethical requirements that apply to persons who have a business relationship with the State. If a grantee is not familiar with these requirements, questions can be referred to the Indiana State Ethics Commission, or can be found on the Inspector General’s website at [http://www.in.gov/ig/](http://www.in.gov/ig/).

Any entity entering into a contract with the State must certify that neither it, nor its principal is presently in arrears in payment of taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. In addition, a contracting organization must warrant that it has no current, pending or outstanding criminal, civil or enforcement actions initiated by the State, and agree that it will notify the State immediately of any such actions.
11. CMS Approval

CMP funds are subject to the approval of the Centers for Medicare and Medicaid Services (CMS). Once the ISDH preliminarily selects a project for grant funding, the ISDH sends the proposal to CMS for their review and approval. CMS must approve all projects and use of funds.