



Welcome!

Prospective Grantee Webinar 2: Preparing an AFI Application

AFI Resource Center

1-866-778-6037

info@IDAresources.org

Call in number: 1 888 390 4470. Audio passcode: AFI.

During this Webinar



- If you have technical difficulties, please press “*0”
- Ask questions via LiveMeeting chat function
- You may download the call materials directly from the Webinar screen. For assistance with accessing the materials, contact the AFI Resource Center:
info@IDAresources.org or call 1-866-778-6037

Assets for Independence

Special federally funded 5-year grants to organizations that enable accountholders to ...

- **Learn** about financial and consumer issues
- **Save** in Individual Development Accounts

In order to ...

- Become more self-sufficient and plan for the future
- Invest in an asset

AFI Request for Proposals

Funding Application Due Dates

FY 2014	FY 2015	FY 2016
May 7, 2014 July 14, 2014	October 27, 2014 April 20, 2015	October 19, 2015 April 18, 2016

- Due by 11:59 pm ET on due date listed
- \$10,000 to \$1,000,000
- Average: \$350,000



Top Messages

- Follow instructions in the Funding Opportunity Announcement closely!
- Do not wait for the due date!
- Start grants.gov registration now!

	Application Kit	Application Packet
Source	Emailed from AFI Resource Center	Downloaded from grants.gov
Format	PDF	Editable PDF
Purpose	For reference	The application you will submit to grants.gov

The Basics

- Double spaced, Times New Roman, 12 pt (with exceptions)
- All pages numbered, labeled, and in Tables of Contents
- PDF format
 - See [Grants.gov and the Two-File Requirement](#) webinar recording
- Grants.gov naming conventions
 - See p17 of the FOA
- Do not include weblinks to outside documents

Two File Requirement

File 1- Project Description

(no page limit)

- Table of Contents
- Project Summary/ Abstract
- Approach- Organizational Capacity and Staffing
- Approach- Project Implementation: Work Plan
- Approach- Project Viability
- Project Timeline and Milestones
- Geographic Location
- Plan for Oversight of Federal Award
- General - Budget and Budget Justification
- Other
- Program Income
- Commitment of Non-federal Resources

File 2- Appendices

(100 page limit)

- Table of Contents
- Legal Status of Applicant Entity - Proof of Non-Profit Status
- Additional Eligibility Documentation - Documentation of Non-federal Cash Commitment
- Organizational Capacity - Resumes
- Organizational Capacity - List of Board of Directors
- Organizational Capacity - Copy or description of fiscal control and accountability procedures
- Organizational Capacity - Job description for each vacant key position
- Third-Party Agreements (i.e. Project Partner Agreements)
- Other Supporting Documentation

Standard Federal Forms

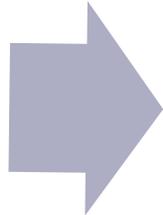
Included in the Application Package:

- SF-424 - Application for Federal Assistance*
- SF-424A - Budget Information - Non-Construction Programs*
- SF-424B - Assurances - Non-Construction Programs
- Certification Regarding Lobbying (Grants.gov Lobbying Form)
- SF-P/PSL - Project/Performance Site Locations
- *SF-424 Key Contact Form (optional)*
- *SF-LLL - Disclosure of Lobbying Activities (optional)*

* Guidance for completing the *SF-424A - Budget Information - Non-Construction Programs* and the *SF-424 - Application for Federal Assistance* can be found in the [Standard Budget Forms for AFI Applications](#) document in the *AFI Project Builder Toolkit*.

Project Summary/Abstract

One
page



- List project title and contact information
Summarize the key features of the project:
- Needs to be addressed
 - Populations served
 - Proposed services
 - Other features such as:
 - Match rate(s), maximum savings
 - Dollars saved and asset purchases planned
 - Number of graduates expected
 - Key partner organizations
 - Financial institution partner
 - Sources/amounts of nonfederal funding

APPROACH- Organizational Capacity and Staffing

- Staff capacity
 - Demonstrate that your staff and/or partners are qualified and experienced with asset building or asset-specific training
 - Narrative can cross-reference items in the Appendices, such as:
 - Resumes
 - List of Board of Directors
 - Evidence of relevant experience and expertise with similar programs
 - Evidence of organizational capability to fulfill their roles and functions effectively

Staffing an IDA Project

Management and Operations	Coordination and Participant Services
<ul style="list-style-type: none"> Establishing partnerships 	<ul style="list-style-type: none"> Marketing development and implementation
<ul style="list-style-type: none"> Overall program design 	<ul style="list-style-type: none"> Recruitment and enrollment activities
<ul style="list-style-type: none"> Setting program policy 	<ul style="list-style-type: none"> Application documentation
<ul style="list-style-type: none"> Regular financial, program and data reports for OCS 	<ul style="list-style-type: none"> Account management (Reserve Account and participants' savings and match accumulation progress)
<ul style="list-style-type: none"> Raising nonfederal cash contribution 	<ul style="list-style-type: none"> Case management
<ul style="list-style-type: none"> Setting budgets and accounting procedures 	<ul style="list-style-type: none"> Financial and asset education
<ul style="list-style-type: none"> Program oversight 	<ul style="list-style-type: none"> Tracking progress toward benchmarks
<ul style="list-style-type: none"> Public relations 	<ul style="list-style-type: none"> Communications with participants, applicants, and partners
<ul style="list-style-type: none"> Data entry and management 	
<ul style="list-style-type: none"> Marketing and recruitment materials production 	
<ul style="list-style-type: none"> Logistics for trainings and workshops 	

APPROACH - Project Implementation: Work Plan

- **Provide** a clear overview of the project and plan of action to achieve project goals
- **Link** your program policies to the AFI program requirements
- **Include** an analysis of any factors that may affect the schedule and ways to address them
- “The work plan must also include detailed information on the applicant's planned approach for addressing **program requirements** and applicable **project activities** as described in *Section I. Funding Opportunity Description*, and the **following factors**” (p23)

AFI Program Requirements

- Cost Sharing (nonfederal match)
- Project Reserve Fund
- Funding Restrictions (85%/15%)
- Participant Eligibility
- Financial Education
- IDA Match Rate
- Use of IDA Balances - Asset Purchases
- Reporting

* As listed in Section I.D on p4

AFI Project Activities

- Marketing and Recruitment
- Case Management and Coaching
- Asset Specific Training and Other Related Services
- Data Collection
- Record Keeping and Management
- Evaluation Activities

* As listed in Section I.E on p5

APPROACH - Project Implementation: Work Plan

- Enrollment Activities:
 - Describe outreach plan and eligibility screening
 - Describe target population- their income, demographics, savings
 - Describe process for determining the unique needs of each participant/group and particular strengths
- Project Partnerships:
 - Public or private partners
 - Financial institution partners
 - Any service delivery partners

APPROACH - Project Implementation: Work Plan

- IDA Design Features:
 - Match rate & rationale for that match rate
 - Allowable assets for purchase & rationale
 - Maximum participant savings to be matched
 - *Provide Savings Plan Agreement in Appendices*
- Support Services:
 - Describe how you will implement savings plans with your participants.
 - Describe how you will provide IDA participants with Tax Filing Assistance to claim refundable credits such as the Earned Income Tax Credit (EITC)

APPROACH - Project Implementation: Work Plan

- Project Management Activities
 - Use AFI's performance management framework
 - Outcomes, indicators, indicator targets, and outcome measures
 - Clearly describe your data collection system
 - Use of an electronic Management Information System
 - See “Data Management” section of www.IDAresources.acf.hhs.gov for options
 - Communicate with OCS via regular reports and annual data collection (see p40 of FOA)
 - Internal project reviews concerning staffing, participant successes, and other issues

APPROACH- Project Viability

- Demonstrate that you have the resources to implement your project:
 - Identify any competing activities/ programs
 - Link resource allocation to project activities
 - If you don't have partners, demonstrate that you have the resources to implement all project components

Additional Project Viability Pieces Sections of the Project Description

- **Project Timeline and Milestones**
 - Outline what you will do when
 - Include targets or benchmarks on a monthly/quarterly basis
 - Number of people to be served or activities to be accomplished
 - Link to key project activities (p5)
- **Geographic Location**
- **Plan for Oversight of Federal Funds**
 - Staff
 - Policies & procedures
 - Organizational records systems

General - Budget and Budget Justification

- One 5-year budget for entire project period*
- Make sure budget aligns with your workplan!
- Narrative must provide a breakdown for the following:
 - 85% for IDA match - detail match rates and number of accounts
 - 15% administrative costs for 5 years for the following:
 - 5.5% for financial education and related costs for participants opening an AFI-funded IDA
 - 7.5% for general program administrative costs
 - 2% for data collection

* Template appears in the *AFI Project Builder Toolkit*.

Budgets in the AFI Application

Form 424: Request for Federal Assistance*	Form 424-A*: Budget Non- Construction Programs*	Budget and Budget Justification
Required federal form included in Application Package	Required federal form included in Application Package	Part of your written application
Federal request, nonfederal sources (including applicant funds committed)	Reflect AFI spending guidelines (e.g., 85/15)	“Big picture” project budget that includes any support beyond the nonfederal requirement

- Consistent budget figures in all three places!
- Provide letters or other documentation to prove nonfederal match is committed

*AFI-specific guidance for 424 and 424-A available under “AFI Project Builder Toolkit” at www.IDAresources.acf.hhs.gov/Apply

Tips on the Project Description Budget

- Information on the budget forms and the budget justification must be consistent
- Demonstrate that the resources requested are reasonable and adequate to accomplish the project
- Demonstrate how funds will be used to achieve outcomes for proposed number of IDAs based on match rate(s)
- Include any support committed beyond the nonfederal requirement
 - Include that here, NOT on the SF-424 and SF-424A

Project Description

- Other
- Program Income
 - Explain any income if expected, e.g. program fees, property rental, loan interest
- Commitment of Non-federal Resources
 - Narrative explaining sources and uses

Final thought on narrative:

- “Cite potential obstacles and challenges to accomplishing project goals and explain strategies that will be used to address these challenges.” (IV.2)

APPENDICES (File 2)

- Table of Contents
- Legal Status of Applicant Entity - Proof of Non-Profit Status
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- Organizational Capacity - Resumes
- Organizational Capacity - List of Board of Directors
- Organizational Capacity - Copy or description of fiscal control and accountability procedures
- Organizational Capacity - Job description for each vacant key position
- Third-Party Agreements (i.e. Project Partner Agreements)
- Other Supporting Documentation

Legal Status of Applicant Entity – Proof of Non-Profit Status

- **Nonprofit** applicants must include a copy of IRS certification regarding its 501(c)(3) status. This may be in the form of the IRS letter granting certification.
- **Low Income Credit Unions** applicants submit proof of their designation as a “Low-Income Credit Union.” More information on low-income designation is available from the National Credit Union Administration.
- **Community Development Financial Institutions** with official certification from the U.S. Department of Treasury CDFI Fund must submit proof of their designation. For more information about CDFI certification, go to <http://www.CDFIfund.gov>.

Additional Eligibility Documentation - Documentation of Non-federal Cash Commitment

- Documents must clearly state:
 - The total amount of the commitment.
 - The start date(s) for the commitment of funds to the applicant.
 - The specific project for the commitment (by due date)
- Additional documentation required for commitments from these sources:
 - Third-party organizations
 - Applicant organization
 - Individual(s)
 - State /Local/ Tribal government
 - See the FOA p.25

Appendices: Organizational Capacity

- Include documents to support the staffing for your project
 - Staff resumes
 - List of the Board of the Directors
 - Job descriptions for empty positions
- Include documents to support your plan describing fiscal control
 - Demonstrate who is accountable for fiscal project components
 - For network projects: commitments from partners or sub-grantees, their roles and responsibilities

Appendices: Third Party Agreements

- What expertise will they bring to the project?
 - Financial Institution partner
 - Service or referral partners
 - Tax filing assistance
 - Training partners
 - Other Federal or nonprofit coordination
 - Other services
- Accountability
- Must have clear letters of commitment or MOUs
 - Documentation requirements: see p25 of the FOA



Evaluation Criteria

Criteria	Points
<ul style="list-style-type: none"> • Approach: Project Description, Implementation, Work Plan, and Project Viability <ul style="list-style-type: none"> ○ Target Population & Location, Project Design, Expected Outcomes, Timeline, Program Requirements, Subrecipient Activities, Record Keeping and Management, and Project Viability 	50
<ul style="list-style-type: none"> • Approach: Organizational Capacity <ul style="list-style-type: none"> ○ Capacity, Project Partners, Financial Institution Partners, Knowledge and Experience, and Staff 	30
<ul style="list-style-type: none"> • Budget and Budget Justification <ul style="list-style-type: none"> ○ Funding and Spending Guidelines 	10
<ul style="list-style-type: none"> • Bonus <ul style="list-style-type: none"> ○ Community Development, Key Collaborations, and Unserved States 	10

Bonus Points

- Community Development
 - Partnering with comprehensive neighborhood change projects (Promise Neighborhoods, etc.)
- Key Collaborations
 - Collaborating with other agencies (TANF, Head Start, etc.)
 - Serving families in the child support system, foster care system, persons with disabilities, refugees, Native Americans, or survivors of domestic violence
- Unserved States
 - Serving Rhode Island and Wyoming



Application Submission

Process and [Grants.gov](https://www.grants.gov)

Submitting an Application

- Applicants must submit their AFI applications electronically via [Grants.gov](https://www.Grants.gov)
 - New applicants may find the [For Applicants](#) page helpful for learning about the [Grants.gov](https://www.Grants.gov) application process
- Do not wait for the due date!

Grants.gov

- Complete organization registration
 1. Obtain Data Universal Number (DUNS)
 2. Register Your Organization with the System for Award Management
 3. Username and Password
 4. AOR (Authorized Organization Representative Authorization)
 5. Track AOR Status

* For guidance, see [Grants.gov and the Two-File Requirement](#) webinar recording

Finding AFI on Grants.gov

Search for:

- *Program name:* Assets for Independence
- *Funding opportunity number:* **HHS-2014-ACF-OCS-EI-0774**
- *CFDA number:* **93.602**

Download:

- Application Package
- Application Instructions



The screenshot shows the Grants.gov website interface. At the top, there is a navigation bar with 'HOME', 'ABOUT', and 'SEARCH GRANTS' buttons. Below the navigation bar, the breadcrumb path 'GRANTS.GOV > Search Grants' is visible. The main heading is 'SEARCH GRANTS'. Underneath, there is a section titled 'BASIC SEARCH CRITERIA:' with three input fields: 'Keyword(s):', 'Funding Opp #:', and 'CFDA Number:'. Each input field has a small 'x' icon in the top right corner. A 'SEARCH' button is located at the bottom right of the search criteria section.



GRANTS.GOV™

Grant Application Package

Print

Cancel

Opportunity Title:	Assets for Independence Demonstration Program
Offering Agency:	Administration for Children and Families - OCS
CFDA Number:	93.602
CFDA Description:	Assets for Independence Demonstration Program
Opportunity Number:	HHS-2014-ACF-OCS-EI-0774
Competition ID:	HHS-2014-ACF-OCS-EI-0774
Opportunity Open Date:	02/26/2014
Opportunity Close Date:	05/07/2014
Agency Contact:	null

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

Application Filing Name:

Select Forms to Complete

Mandatory

Save

Save & Submit

Check Package for Errors

[Application for Federal Assistance \(SF-424\)](#)

[Grants.gov Lobbying Form](#)

[Other Attachments Form](#)

[Budget Information for Non-Construction Programs \(SF-424A\)](#)

[Assurances for Non-Construction Programs \(SF-424B\)](#)

[Project/Performance Site Location\(s\)](#)

[Project Narrative Attachment Form](#)

Optional

[Key Contacts](#)

[Disclosure of Lobbying Activities \(SF-LLL\)](#)

Application for Federal Assistance SF-424

*** 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

*** 2. Type of Application:**

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

*** 3. Date Received:**

Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

*** a. Legal Name:**

*** b. Employer/Taxpayer Identification Number (EIN/TIN):**

*** c. Organizational DUNS:**

d. Address:

*** Street1:**

Street2:

*** City:**

County/Parish:

*** State:**

Province:

*** Country:**

*** Zip / Postal Code:**

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

*** First Name:**

Other Attachment File(s)

* Mandatory Other Attachment Filename:

Add Mandatory Other Attachment

Delete Mandatory Other Attachment

View Mandatory Other Attachment

To add more "Other Attachment" attachments, please use the attachment buttons below.

Add Optional Other Attachment

Delete Optional Other Attachment

View Optional Other Attachment

Application Notes

- Public agencies must apply with nonprofit partner
 - Lead organization signs/submits proposal
- If you submit multiple applications within one grant cycle (i.e., due date), OCS will accept the most recent one for review
- Sub-recipients must have DUNS Identifiers
- In the Application Package:
 - File 1: Project Description = Project Narrative Attachment Form
 - File 2: Appendices = Other Attachments Form

Confirmation & Review

- Confirmation emails
 - See [Sample Application Confirmation Emails From Grants.gov](#)
- Tracking your application on grants.gov
 - See [Grants.gov and the Two-File Requirement](#) webinar recording
- Proposals are reviewed by a panel of non-federal experts in IDAs and implementation
- Anticipated award date: 90-120 days after due date

Next Steps

Next Steps & the AFI Resource
Center Services

Next steps

1. Attend Prospective Grantee Webinar 3: Developing Resources and Partners
2. Set up a call with the AFI Resource Center
3. Establish MOUs with partner organizations
4. Register for SAM/DUNS/grants.gov

AFI Project Builder & Toolkit at www.IDAresources.acf.hhs.gov/Apply

AFI Project Builder

▲ AFI Project Builder

AFI Project Builder

▲ AFI Project Builder Toolkit

Worksheet 1: Assessment of Target Populations
Worksheet 2: AFI Activities, Our Capacity, and Potential Community Partners
Worksheet 3: The Participant Funnel
Worksheet 4: Determining the Cost of Assets in your Community
Worksheet 5: Determining the Savings Cap and Match Cap
Worksheet 6: Financial Institution Comparison Sheet
Worksheet 7: Partnership Evaluation Form
Worksheet 8: Funding Prospect Form
Worksheet 9: Gantt Chart of Activities
Worksheet 10: AFI Project Budget
Worksheet 11: Projecting Need of Matching Funds
Standard Budget Forms for AFI Applications
Sample Documentation of Commitment of Nonfederal Resources
Sample Savings Plan Agreement
Sample AFI Project Manager Job Description
Sample Financial Institution Partner Agreement
Select IDA Resources

Webinars

- ▶ Fall 2012 Applicant Webinar Series
- ▶ AFI Program Overview & Grant Application Process

Applicant Webinar Series

Webinar 1: Planning an AFI Project	Webinar 2: Preparing a Successful Application	Webinar 3: Developing Resources and Partners
April 3	April 16	April 29
May 8	May 21	June 3
June 17	July 2	July 17
July 29	August 14	August 27
September 10	September 25	October 7

For more information and to register:

<http://IDAresources.acf.hhs.gov/Calendar>

AFI Resource Center Contact Information

Phone: 1-866-778-6037

Email: info@IDAresources.org

Web: <http://IDAresources.acf.hhs.gov>

<http://acf.hhs.gov/programs/ocs/programs/afi>