



Critical AFI FOA Updates: Requirements for All AFI Grant Applicants

Documentation of Non-Federal
Cash Commitments,
Two-File Requirement, and More

October 2014





Your Moderator

Presenter

Emily Appel-Newby



The AFI Resource Center provides training and technical assistance to AFI grantees, their project partners, and other organizations that are providing asset building services across the nation.



Technical Difficulties?

**Having technical difficulties?
Contact the AFI Resource Center:**

by **Phone** at 866-778-6037
or **Email** info@idaresources.org



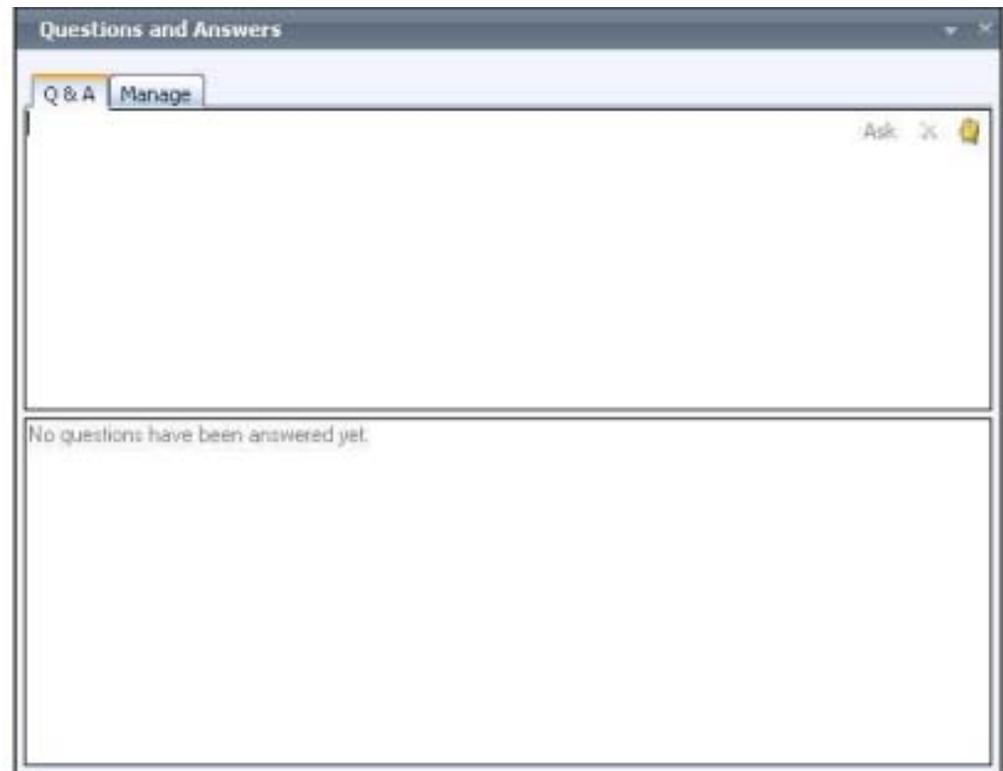
Housekeeping

- This webinar is being recorded.
- The webinar will last approximately 60 minutes and we will answer questions at the end.
- All webinar attendees are muted to ensure sound quality.



Asking Questions

- Use the question box in your webinar Control Panel to ask questions at any time.
- Questions will be answered at the end of the call.





Webinar Objectives

- For listeners to:
 - Recognize the changes in the new AFI FOA
 - Understand importance of documenting the non-federal cash commitment
 - Know both the *universal* and *source-specific* cash commitment documentation requirements
 - Understand how to meet the two-file requirement
 - Know where to go for more assistance

www.IDAresources.acf.hhs.gov/Apply



Key Updates to the Funding Opportunity Announcement (FOA) – 9/25/14

- October 27, 2014 is the final due date – *new FOA is expected in FY 2015*
- Acceptable documentation of non-federal cash commitments
- Appendices page limit: 150
- Updated Project Budget & Budget Justification language
- Updated evaluation criteria

Key Updates to FOA, cont.

- Updated Project Budget & Budget Justification language
 - Budget should clearly display the allocation of both federal and non-federal funds to an object category and relevant line items.
 - An object category may have more than one line, e.g., more than one line under personnel or under other costs.
 - Funds allocated to participant savings match for qualified withdrawals should be included in the “Other” category.

Key Updates to FOA, cont.

- Updated evaluation criteria
 - The available standard points now total 100.
 - The Approach sub-criterion on subrecipient activities has been updated to include project partners.
 - The Bonus Points criterion for Community Development has been changed to Federal Place-based Initiatives, the available points for this criterion have increased to 5, and additional definitions have been added to Section I, The Program Description related to this change.
 - The Bonus Points criterion for Key Collaborations has also been revised to clarify ACF expectations in this area and the available points for this criterion have increased to 5.



Accessing the FOA

- Visit <http://www.acf.hhs.gov/grants/open/foa/view/HHS-2014-ACF-OCS-EI-0774>
- Email the AFI Resource Center at info@IDAresources.org to receive an Application Kit and join mailing list

NEW in 2014

Requirements for Acceptable Documentation of Non-Federal Cash Commitment





Non-Federal Cash Commitment

- Must have firm commitments of cash support from non-federal sources at the time of application
- The commitments **must be equal to or greater than** the federal grant amount requested



Definition of *Documentation of Non-Federal Cash Commitment*

- One or more documents that detail the **non-federal cash commitment to the applicant for the proposed AFI project**, including the total amount of cash committed to the project, when the cash will be available for the applicant to use for project implementation, and the specific AFI funding cycle for which the commitment is made.
- **The commitment must be made by the entity responsible for the committed funds** and the documentation must be signed by one or more individuals authorized to act for the entity making the financial commitment.

Documentation of Non-Federal Cash Commitments: Universal Requirements

- Clearly describe the financial commitment to the applicant for the proposed project by including:
 - the **total** amount of the commitment;
 - **when** the cash will be available for the applicant to use for project implementation; and
 - the specific project for which the commitment is being made, identified by the month and year of the **application due date**.
- See FOA Section IV.2. *Content and Form of Application Submission, Acceptable Documentation of Non-Federal Cash Commitment*



Example

*We commit a total of **\$100,000** to AFI Project Agency as non-federal cash match for its **October 2014** Assets for Independence Demonstration Program application.*

*These funds will be provided to AFI Project Agency **within 60 days of the issuance of the AFI Award.***

Common Errors –Universal Requirements

| Error | Correction |
|--|--|
| The documentation is not from the entity responsible for the committed funds. For example, Organization A is committing Organization B’s funds to the project. | All non-federal cash commitments must be made by the entity responsible for the committed funds , and the documentation must be from that entity. |
| Required information (total amount, date of availability, and/or application due date) is not integrated into the text of the documentation. | All required information must be integrated into the body of the documentation by the author. |



Common Errors – Universal Requirements

| Error | Correction |
|---|--|
| The documentation provides the amount of non-federal cash commitment as an annual amount, an estimated amount, or does not specify an amount. | The total amount of the cash commitment for the full five-year grant period must be clearly stated in the documentation. <i>Ex: “a total of \$100,000”</i> |
| The documentation does not identify the month and year of the AFI FOA application due date for which the commitment is being made. | The documentation must state the month and year of the due date under which the application with that documentation was/will be submitted. <i>Ex: “application due October 2014” or “October 2014 funding cycle”</i> <i>Not: FOA number HHS-2014-ACF-OCS-EI-0774</i> |

Common Errors – Universal Requirements

| Error | Correction |
|---|---|
| <p>The documentation does not clearly state when the non-federal cash commitment will be made available for the applicant to use for project implementation.</p> | <p>The documentation must include language specifying when the non-federal cash commitment will be made available for the applicant to use for project implementation.</p> <p><i>Ex: “May 2, 2015”</i></p> <p><i>“within 30 days of when the AFI grant is awarded”</i></p> <p><i>“upon award”</i></p> <p><i>“50% will be disbursed on May 31, 2015 and 50% will be disbursed on May 31, 2016”</i></p> |

Documentation of Non-Federal Cash Commitments: Source-Specific Requirements

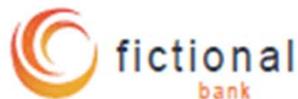
- Additional documentation is required for commitments from these sources:
 - Third-party organizations
 - Applicant organization
 - State, Local, or Tribal Legislative Entity
 - Individual(s)
 - Funds from another source not described above
- See FOA Section IV.2. *Content and Form of Application Submission, Acceptable Documentation of Non-Federal Cash Commitment*

Third-party organizations

Any funds committed to the AFI project directly by a third-party organization, i.e. an organization that is not the applicant. This is the most common source of non-federal funds, as it includes other community-based organizations, banks, corporate funders, foundations, etc.

Requirements:

- Organizational letterhead
- Addressed to the applicant
- Signed by the person in the third-party organization with the authority to make a financial commitment on behalf of their organization



4

October 20, 2014

Dr. Erica Kim
Executive Director
AFI Project Agency
1234 Main Street
Anytown, State 54321

5

Dear Dr. Kim,

1

Fictional Bank has committed \$50,000 to AFI Project Agency for its Asset Building Program. Fictional Bank commits these funds for the purposes of the October 2014 AFI Project Agency application for funding to the Assets for Independence Demonstration Program.

3

2

The full non-federal cash commitment will be provided to AFI Project Agency for deposit into the project reserve fund upon notification of an AFI grant award.

In addition, Fictional Bank will provide in-kind services appropriate to support the program, such as assistance with economic literacy classes, financial mentors for participants, and small business development trainings.

Fictional Bank is pleased to support the efforts of AFI Project Agency as they begin the pioneering work of providing economic literacy and asset building opportunities for low-income individuals.

Sincerely,

Key to Documentation Requirements

Third party organization sample:

- 1) total amount of the commitment
- 2) when the funds will be made available to the applicant
- 3) specific project for which the commitment is being made
- 4) organizational letterhead
- 5) addressed to the applicant
- 6) signed by person with authority to make a financial commitment



Applicant Organization

Any funds committed to the AFI project directly by the applicant organization from funds that it has on hand at the time of application.

Requirements:

- Organizational letterhead
- Signed by Authorized Representative (Block 21 on SF-424)
- Signed by at least one other organizational representative
- Include an audit report or agency balance sheet that demonstrates the availability of the specific funds committed to the project
- Documentation clearly identifies the line item(s) that support the commitment

MCDC
LOGO

4

October 15, 2014

AFI Program Manager, Office of Community Services:

1

My Community Development Corporation has committed a total of \$100,000 to support the implementation of an Assets for Independence (AFI) Individual Development Account program, \$85,000 of which will be used to match participant savings and \$15,000 of which will be used for other project support (data collection, administrative costs, and non-administrative costs).

3

These funds are to be used to support the AFI Project funded under the October 2014 AFI Program funding cycle. The total non-federal cash commitment will be placed in the Project Reserve Account on the planned project start date, March 1, 2015, if an award is received.

2

7

Also included in this application is a copy of My Community Development Corporation's Agency Balance Sheet from August 31, 2014. The funds for this project are indicated in line 2 (Restricted Funds – AFI Project 2014).

8

Signed,

State, Local, or Tribal Legislative Entity

Any funds committed to the AFI project directly by a legislative governmental entity, such as a state legislature, or a city, county, or tribal council or other similar entity.

Requirements:

- Include documentation of the *legislative action* taken to commit funds to the project, such as an official resolution.

State, Local, or Tribal Legislative Entity, cont.

If the documentation of legislative action does not include all the information necessary for the Universal Requirements, applicants must provide additional documentation that includes the required details.

Requirements for additional documentation:

- Official government letterhead
- Addressed to either the applicant or the Office of Community Services
- Signed by two members of the legislative entity

SAMPLE DOCUMENTATION OF NON-FEDERAL CASH COMMITMENT FROM A LEGISLATIVE GOVERNMENTAL ENTITY

Part 1 of 2

AT A MEETING OF THE BOARD OF COMMISSIONERS OF WASHINGTON COUNTY,
STATE, HELD ON OCTOBER 15, 2014.

4

RESOLUTION - COMMITMENT OF COUNTY FUNDS AS NON-FEDERAL MATCH FOR THE
WASHINGTON COUNTY INDIVIDUAL DEVELOPMENT ACCOUNT PROGRAM

WHEREAS, the Board of Commissioners of Washington County of State, does hereby find
as follows:

WHEREAS, economic well-being does not come solely from income, spending, and
consumption, but also requires savings, investment, and accumulation of assets because
assets can improve economic independence and stability, connect individuals with a viable and
hopeful future, stimulate development of human and other capital, and enhance the welfare of
offspring;

WHEREAS, 25% of American households are asset poor, which is defined as lacking
sufficient net worth to subsist at the poverty level for three months in the absence of income.
The threshold used to determine the asset poverty rate varies by family size. A family of four
with net worth less than \$5,887 in 2013 is asset poor;

WHEREAS, the Washington County Individual Development Account (IDA) program.

SAMPLE DOCUMENTATION OF NON-FEDERAL CASH COMMITMENT FROM A LEGISLATIVE GOVERNMENTAL ENTITY

Part 2 of 2



WASHINGTON COUNTY
Board of Commissioners
123 S. Main Street • City, State 23456



October 17, 2014

Jeannie Chaffin
Director, Office of Community Services
Administration for Children and Families
370 L'Enfant Promenade SW
Washington, DC 20447



Dear Ms. Chaffin,



On October 15, the Washington County Board of Commissioners committed \$50,000 as non-federal match for the Washington County Individual Development Account (IDA) Program administered by the Community-based Organization. The Board Resolution demonstrating this commitment is attached.

This commitment is made to Community-based Organization for an application submitted to the Office of Community Services for the October 2014 funding cycle of the Assets for Independence Program.



Individuals

Any funds committed to the AFI project directly by an individual donor.

Requirements:

- Addressed to the applicant
- Include the individual's contact information (name, address, telephone number, and/or e-mail)
- Signed by the individual donor
- Notarized

September 30, 2014

Mr. Matthew Ortiz
Executive Director
AFI Project Agency
1234 Main Street
City, State 54321

4

Dear Mr. Ortiz,

1

3

I am pleased to commit \$1,500 to AFI Project Agency for its Build Your Future Matched Savings Program. This commitment shall be used to support an application to the Assets for Independence Program due in October 2014. These funds will be provided to AFI Project Agency within 60 days of the issuance of the AFI Award.

2

Sincerely,

{Signature}

6

5

Erica Gallagher
1234 River Avenue
City, State 54321
sample@gmail.com
(555) 555-5555

7



Another Source Not Described

Any funds committed to the AFI project that do not originate from one of the other sources previously described. NOTE: We do not expect this to be commonly used.

Requirements:

- In an official form from the entity with authority to commit the funds (such as on letterhead)
- At least two signatures of individuals with the authority to make the commitment on behalf of that entity

If using federal funds as non-federal match, the documentation must:

- Clearly describe the statutory authority that allows those federal funds to be used as non-federal match to federal funds
- Include supporting references



Common Source-Specific Errors

| Funding Source | Error | Correction |
|---------------------------------------|--|---|
| Third-party or Applicant organization | Not on letterhead | Must be on letterhead |
| Applicant organization | Does not have two signatures | Must have two signatures |
| | Not signed by Authorized Representative listed on SF-424 | Must be signed by Authorized Representative listed on SF-424 |
| | Does not include audit report or agency balance sheet | Must include audit report or agency balance sheet, and specify relevant line item |

Common Source-Specific Errors

| Funding Source | Error | Correction |
|--|--|--|
| Third party organization or Individual donor | Not addressed to applicant | Must be addressed to applicant |
| State, Local, or Tribal Legislative Entity | Legislative action does not include information for Universal Requirements | Submit additional documentation to meet the Universal Requirements |
| Individual | Does not include the individual's contact information | Must include the individual's contact information |
| | Not notarized | Must be notarized |

Source-Specific Decision Tree

- **Does your organization already have possession of the funds?**
YES: Applicant Organizations: Checklist and Sample Documentation
NO...
- **Is an individual person committing the funds?**
YES: Individual(s): Checklist and Sample Documentation
NO...
- **Is a legislative governmental entity, such as a state legislature, or a city, county, or tribal council or other similar entity, committing the funds?**
YES: State, Local, or Tribal Legislative Entity: Checklist and Sample Documentation
NO...
- **Is a third-party organization committing the funds?**
YES: Third-party Organizations: Checklist and Sample Documentation
NO: Funds from Another Source not Described Above: Checklist

Helpful Resources

- Sample documentation for each funding type
- Non-federal Cash Contribution Documentation Checklists for each funding type

See “Documentation of Non-Federal Cash Commitment” at www.IDAresources.acf.hhs.gov/Apply



Two File Requirement Details

File 1- Project Description

(no page limit)

- Table of Contents
- Project Summary/Abstract
- Approach- Org 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

(page limit: 150 pages)

- 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
- Org 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
- Other Supporting Documentation

Two-File Requirement: Points to Note

- Required Standard Forms will be accepted in addition to the two files
- Carefully observe the file naming conventions required by grants.gov and in the FOA
 - <http://www.grants.gov/web/grants/support/technical-support/troubleshooting/restricting-special-characters.html>
- Guidance: “Grants.gov and the Two-File Requirement” webinar at www.IDAresources.acf.hhs.gov/Apply

Formatting Requirements

Formatting requirements:

- Times New Roman, 12-point font. Footnotes may be 10-point font.
- 1 inch margins
- One scanned page per single page
- Double-spaced
 - *Exceptions:* one-page Project Summary/Abstract, required Assurances and Certifications, required Standard Forms, required OMB-approved forms, resumes, logic models, proof of legal status/non-profit status, third-party agreements, letters of support, footnotes, tables, the line-item budget and/or the budget justification.

Applications that fail to adhere to ACF's FOA formatting, font, and page limitation requirements will be adjusted by the removal of page(s) from the application. **Pages will be removed before the objective review.** The removed page(s) will not be made available to reviewers.



AFI Resource Center

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to receive an Application Kit
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