

**Administration for Children and Families**  
**UNIFORM PROJECT DESCRIPTION**  
**for Discretionary FOAs**  
  
**GUIDANCE FOR USE**

**WHAT IT IS:**

The Uniform Project Description (**UPD**) is a series of options from which Program Office (PO) staff select the requirements of the Project Description and the Project Budget and Budget Justification that applicants will submit in response to a Funding Opportunity Announcement (FOA) issued by the Administration for Children and Families. The UPD is approved for use in all discretionary Administration for Children and Families (ACF) FOAs. A modified version of the UPD is used to solicit project description and budget/budget justification from applicants designated to receive noncompetitive continuation awards and earmark awards. The UPD is not approved for use to solicit application requirements under a FOA for mandatory, or formula, Federal funds.

There is no government-wide, OMB-approved form or format for an application project description and/or budget justification. In order to more efficiently develop and publish discretionary FOAs, ACF requested and received approval from OMB for the UPD. When the UPD is properly used in a discretionary FOA, the need for a separate OMB approval under the PRA is avoided thus allowing for grant competitions and awards to occur in a more timely way.

POs should choose only those options that are necessary to elicit sufficient information from applicants so that objective reviewers and staff may determine whether an applicant has appropriately responded to the stated evaluation criteria in the FOA. POs will use some but not all of the options available in the UPD.

**PAPERWORK REDUCTION ACT (PRA) AND THE PROJECT DESCRIPTION-BUDGET JUSTIFICATION:**

Whenever information is solicited from the public, or from a non-Federal agency, the requesting Federal agency must implement the requirements of the Paperwork Reduction Act of 1995 (**PRA**) [44 U.S.C. §§ 3501-3520] <http://www.archives.gov/federal-register/laws/paperwork-reduction/>.

The PRA requires that the Office of Management and Budget (OMB) approve all information collection requests from Federal agencies when nine or more “respondents” are expected. In this instance, under a FOA, which is a pre-award solicitation, “respondents” refers to the expected

number of **applicants** and not to the expected number of grantees. When a FOA contains an information collection that will affect nine or more respondents post-award, it refers to **grantees**. Though the FOA may be published without providing the OMB clearance number, expiration date, and burden per response for a post-award information collection, it is still the PO's responsibility to have the additional collection of information approved at OMB under the PRA review process by the Office of Information and Regulatory Affairs (OIRA).

#### **HOW THE UPD IS USED:**

- Though there are some text options that generally appear in all FOAs, POs should carefully select only those text options that are appropriate for use in the specific FOA. For example, most FOAs would include the text option entitled "Approach." Only FOAs that award grants requiring a match or cost share would include the text option for "Commitment of Non-Federal Resources."
- Text options, including their titles, may not be modified in any way. Though the UPD is a generic project description and budget justification, a few text options may be tailored for the specific FOA's requirements.
- There are five text options that may be tailored to the specific FOA. They are:
  - ◆ **Letter of Intent.** This option may only be modified to include the method of submission for the Letter of Intent. Since Letters of Intent are used to project the number of reviewers required for a competition, **POs may not request any additional information concerning the intended project. However, you must provide information on the method of submission if you include this text option in the FOA.**
  - ◆ **Approach.** At the end of the text option, there is space to include specific directions for applicants that will tailor the part of the project description to the requirements of the program described by the FOA. Be sure to read all of the text options so that you do not duplicate the request for information.
  - ◆ **Legal Status of Applicant Entity. This is a two-part option:** The first part offers POs the opportunity to list the types of documentation required so that an applicant may support their assertion of eligibility to receive an award.

The second part provides optional, standard language selections for non-profit status documentation.
  - ◆ **Additional Eligibility Documentation.** After the text option, there is space to describe specific documentation required to demonstrate and applicant's eligibility for funding.
  - ◆ **Business Plan.** This option may be tailored to include specific requirements for a

business plan, which is an integral part of applications under some specific programs.

- ◆ **Project Budget and Budget Justification.** A new text box is added to standard language and standard selections describing the budget/budget justification format. Its purpose is to allow POs to include a reminder of costs that should be included in the budget and budget justification, e.g. travel costs and per diem for project staff to attend required meetings with PO staff in Washington, DC.
- The UPD is installed in ACF's Announcement Module System, which houses the electronic template for all ACF discretionary FOAs. It is not possible to alter the approved text of the UPD so that, other than these few options, any revisions or additions to UPD text options, is not possible.

## OTHER INFORMATION COLLECTIONS IN FOAs

- **Pre-Award Information Collections:** Some ACF programs maintain forms and/or formats with separate OMB clearances, i.e. objective workplans, etc. It is perfectly acceptable to include references and URLs to separately cleared program-specific forms and formats in ACF FOAs in conjunction with the UPD. Only information collections with prior OMB approval may be used in ACF FOAs.
- FOAs that include forms, formats or other requests for information that are not approved information collections, will not be include in ACF FOAs. Division of Grants Policy (DGP) will identify any such collections during the FOA compliance review.
- If a PO requires a specific set of questions, or domains, for evaluation of a project **post-award**, it may be determined to constitute an information collection and may require separate OMB approval. Here are two examples of information collections that are not covered by the UPD and would require a separate clearance:
  1. The initial year of the project is dedicated to a planning process, while the remaining project period is dedicated to implementation. Prior to award of the second year's funds, **the PO requires a separate implementation plan for approval.** The **implementation plan** would be considered a separate information collection.
  2. As a part of the intended project, a successful applicant organization will act as an intermediary that awards sub-grants. **As a term of the award, the grantee must receive approval from the PO for its plan to award sub-grants.** The collection of information involved in the required submission of the sub-grant plan is not part of the UPD or of the application submission, therefore it is not a cleared collection. And, since there are specific requirements that must be included in the plan for it to be approved by the PO, it is considered a separate information collection that must be cleared by OMB under the PRA requirements.

**A FEW WORDS ABOUT THE DIFFERENCES BETWEEN INFORMATION COLLECTION and EVALUATION CRITERIA:**

The evaluation criteria that appear in *Section V.1. Application Review Information, Criteria*, in discretionary FOAs are a set of measures that inform applicants how their applications will be evaluated during the competitive review process. The primary “audience” for the evaluation criteria is the objective reviewers at advisory panel meetings. The criteria, as published in the FOA, are the only information that reviewers may use in judging and scoring applications during review. **It is required that all evaluation criteria be published in the FOA.** No additional resources, templates, explanations, questions, mapping, etc. may be used during the review process.

Therefore, the evaluation criteria are not the appropriate section in which to request specific information from applicants or to announce the goals of the program. Only the Project Description may be used to solicit application information and only the Funding Opportunity Description may be used for announcing program goals. Nothing new should be introduced for the first time in the evaluation criteria.

Programs should strive to write their criteria using language that will assist reviewers in judging and scoring applications. To assist this, POs may entitle evaluation criteria in any manner that is appropriate for the purposes of the program described in the FOA. Criteria are not required to be entitled according to the options in the UPD.

Please exercise caution when drafting the evaluation criteria in order to avoid additional information requests. The following are a few examples of information collection versus criteria:

Information Collection	Evaluation Criteria
Provide a detailed management plan that includes timelines and a discussion of major task activities.	Does the management plan sufficiently demonstrate the applicant’s ability to accomplish primary project activities and tasks within stated timelines? Has the applicant provided sufficient information to support its ability to manage the project? (5 points)
Provide a description of past collaborations with partner organizations. Describe how training and technical assistance was provided.	Has the applicant sufficiently demonstrated past experience and expertise in leading successful collaborations with a variety of partners in the provision of training and technical assistance (T/TA)? (10 points)
Provide staffing and position data that includes a proposed staffing pattern for the project. Explain how the current and future staff will manage the proposed project.	Does the applicant’s plan provide sufficient detail to discern a staffing pattern for the project? Do proposed staffing plans indicate the applicant’s ability to continue the project

	after the end of Federal funding? (2 points)
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**Required Disclaimer Language for Use with Any OMB-approved Information Collection:**

The following text appears as standard language at the end of the UPD in *Section IV.2.* of each discretionary FOA:

Public reporting burden for this collection of information is estimated to average **XX** hours per response including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection information. The project description is approved under OMB control number 0970-0139, which expires *XX/XX/20XX*. 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.

Other additional program-specific, OMB-approved information collections or references to them, in FOAs should be accompanied by the following:

Public reporting burden for this collection of information is estimated to average **XX** hours per response including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection information. The project description is approved under OMB control number 0970-0139, which expires *XX/XX/20XX*.

The following is an excerpt from the Paperwork Reduction Act [Pub.L. 104-13]. This section provides the definition for an information collection requiring OMB approval:

(c) Collection of information means, except as provided in Sec. 1320.4, the obtaining, causing to be obtained, soliciting, or requiring the disclosure to an agency, third parties or the public of information by or for an agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, ten or more persons, whether such collection of information is mandatory, voluntary, or required to obtain or retain a benefit. ``Collection of information" includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information. As used in this Part, ``collection of information" refers to the act of collecting or disclosing information, to the information to be collected or disclosed, to a plan and/or an instrument calling for the collection or disclosure of information, or any of these, as appropriate.

(1) A Collection of information may be in any form or format, including the use of report forms; application forms; schedules; questionnaires; surveys; reporting or recordkeeping requirements; contracts; agreements; policy statements; plans; rules or regulations; planning requirements; circulars; directives; instructions; bulletins; requests for proposal or other procurement requirements; interview guides; oral communications; posting, notification, labeling, or similar disclosure requirements; telegraphic or telephonic requests; automated, electronic, mechanical, or other technological collection

techniques; standard questionnaires used to monitor compliance with agency requirements; or any other techniques or technological methods used to monitor compliance with agency requirements. A "collection of information" may implicitly or explicitly include related collection of information requirements.

**A NOTE CONCERNING INFORMATION COLLECTIONS IN MANDATORY/FORMULA FOAs:**

The UPD is not approved for use in FOAs announcing the availability of mandatory or formula funds. However, the Paperwork Reduction Act requirements still apply to these information collections. Information collections under mandatory FOAs usually include application and reporting requirements. In this case the number of respondents applies to both applicants (pre-award information collection) and to grantees (post-award information collection/reporting).

In mandatory FOAs, eligibility is limited to a pre-designated group of applicants so that the number of respondents is usually the same for application as for reporting requirements. Because each FOA for mandatory awards is unique, separate clearances from OMB under the PRA are required for their information collections. **There is no generic UPD for mandatory FOAs.** It is advisable that PO staffs contact ACF's OMB/PRA Liaison in the Office of Policy, Research and Evaluation (OPRE) concerning the currency of, or need for, OMB clearances under the PRA.

PO staff should begin this process well before submitting a draft mandatory FOA for compliance review. Lack of the required clearances will hold up the FOA in the compliance review and will delay approval and publication.

For more information on the requirements of the PRA please contact:

For FOA content and UPD usage questions: Please contact your designated DGP Contact	For OMB clearance related questions: Robert Sargis OPRE (202) 690-7275 <a href="mailto:Robert.sargis@acf.hhs.gov">Robert.sargis@acf.hhs.gov</a>
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# ADMINISTRATION FOR CHILDREN AND FAMILIES

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GENERAL . [standard language]

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### **The Project Description**

*The Uniform Project Description (UPD) is a series of standardized and generic text options that can be used, as needed, to inform applicants of the requirements for developing a project description, budget, and budget justification in response to a specific FOA. It is the single OMB-cleared information collection to be used by applicants under ACF FOAs. Most program-specific project description requirements can be integrated into the UPD text options that allow such additions. You must adhere to the following points:*

- *Select only those text options that are appropriate for the FOA.*
- *Text options, including their titles, must not be modified in any way. No deletions or additions may be made to the text options, except in the few instances where program-specific requirements, or examples, are allowed. Text boxes are available at the UPD options where program-specific requirements may be added.*

## **Part I THE PROJECT DESCRIPTION OVERVIEW**

### **PURPOSE**

The project description provides the majority of information by which an application is evaluated and ranked in competition with other applications for available assistance. It should address the activity for which Federal funds are being requested, and should be consistent with the goals and objectives of the program as described in *Section I, Funding Opportunity Description*. Supporting documents should be included where they can present information clearly and succinctly. When appropriate, applicants should cite the evaluation criteria that are relevant to specific components of their project description. Awarding offices use this and other information in making their funding recommendations. It is important, therefore, that this information be included in the application in a manner that is clear and complete.

### **GENERAL EXPECTATIONS AND INSTRUCTIONS**

Applicants should develop specific project descriptions that focus on outcomes and convey strategies for achieving intended performance. Project descriptions are evaluated on the basis of substance and measurable outcomes, not length. Extensive exhibits are not required. Cross-referencing should be used rather than repetition. Supporting information concerning activities that will not be directly funded by the grant or information that does not directly pertain to an integral part of the grant-funded activity should be placed in an appendix.

## **Part II GENERAL INSTRUCTIONS FOR PREPARING A FULL PROJECT DESCRIPTION**

## INTRODUCTION

Applicants must prepare the project description statement in accordance with the following instructions while being aware of the specified evaluation criteria. The text options give a broad overview of what the project description should include while the evaluation criteria identify the measures that will be used to evaluate applications.

Option:       **LETTER OF INTENT**

**Instructions to Drafters:** *If an optional letter of intent is requested for this announcement, this text option should be selected from the UPD. Use the text box below to provide applicants with the method of submission (name, address, phone, email, fax number, etc.). Please note that the due date for the Letter of Intent must be included in the Overview and in Section IV.3. **Additional requirements may not be added to the Letter of Intent.** At ACF, Letters of Intent are always optional.*

Applicants are strongly encouraged to notify ACF of their intention to submit an application under this announcement. Please submit the letter of intent by the deadline date listed in *Section IV.3 Submission Dates and Times*.

The letter of intent should include the following information: number and title of this announcement; the name and address of the applicant organization; and/or Fiscal Agent (if known); and the name, phone number, fax number and email address of a contact person.

Letter of intent information will be used to determine the number of expert reviewers needed to evaluate applications. **The letter of intent is optional.** Failure to submit a letter of intent **will not** impact eligibility to submit an application and **will not** disqualify an application from competitive review.

<b>TEXT BOX</b>
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Option:       **TABLE OF CONTENTS**

List the contents of the application including corresponding page numbers. The table of contents must be single spaced and will be counted against the total page limitations.

Option:       **PROJECT SUMMARY/ABSTRACT**

**Instructions to Drafters:** *This option includes all of the information that may be requested in the Project Summary/Abstract. Do not add additional information collection to the Summary/Abstract by including it in other sections of the FOA, including the evaluation criteria. Additional information requests must be cleared by OMB under the Paperwork Reduction Act.*

Provide a summary of the application's project description. The summary must be clear, accurate, concise, and without reference to other parts of the application. The abstract must include a brief description of the proposed grant project including the needs to be addressed, the proposed services, and the population group(s) to be served.

Please place the following at the top of the abstract:

- Project Title
- Applicant Name
- Address
- Contact Phone Numbers (Voice, Fax)
- E-Mail Address
- Web Site Address, if applicable

The project abstract must be single-spaced, in 12-point font, and limited to one page in length. Additional pages will be removed and will not be reviewed. The project abstract is not included in the total page count.

Option:           **OBJECTIVES AND NEED FOR ASSISTANCE**

***Instructions to Drafters:*** Check the box to include this in the Project Description request for information.

Clearly identify the physical, economic, social, financial, institutional, and/or other problem(s) requiring a solution. The need for assistance including the nature and scope of the problem must be demonstrated, and the principal and subordinate objectives of the project must be clearly and concisely stated; supporting documentation, such as letters of support and testimonials from concerned interests other than the applicant, may be included. Any relevant data based on planning studies should be included or referred to in the endnotes/footnotes. Incorporate demographic data and participant/beneficiary information, as well as data describing the needs of the target population and the proposed service area as needed. When appropriate, a literature review should be used to support the objectives and needs described in this section.

Option:           **OUTCOMES EXPECTED**

***Instructions to Drafters:*** This option requests applicants to define their projected outcomes in relation to the overall goals for the FOA. Outcomes are the impact received from activities a grantee and its partner(s) implement; they are what program participants or the target population gets as a result of the funded activities. Outcomes should relate to the overall goals of the program, as described in Section I .Funding Opportunity Description.

*FOAs that require identification of specific outcomes for applicants must include that information in Section I of the FOA. That information should not be introduced in this section, the request for the Project Description.*

*(A text box for program-specific requirements is no longer available in this option.)*

Identify the outcomes to be derived from the project. Outcomes should relate to the overall goals of the project as described in *Section I. Funding Opportunity Description*. If research is part of the proposed work, outcomes must include hypothesized results and implications of the proposed research.

Text Option: **APPROACH**

***Instructions to Drafters:*** This text option provides the central requirements of the Project Description's narrative. A text box is available so that Drafters may specify its requirements that are the critical elements used by objective reviewers during the application review process.

*Use the text box to specify instructions to applicants on the program-specific requirements of their project descriptions. Do not repeat standard language or the requirements for all applicants that appear earlier in the FOA template.*

Outline a plan of action that describes the scope and detail of how the proposed project will be accomplished. Applicants must account for all functions or activities identified in the application. Describe any design or technological innovations, reductions in cost or time, or extraordinary social and/or community involvement in the project. Provide a list of organizations, cooperating entities, consultants, or other key individuals that will work on the project, along with a short description of the nature of their effort or contribution.

Cite potential obstacles and challenges to accomplishing project goals and explain strategies that will be used to address these challenges.

**TEXT BOX**

Option: **PROJECT TIMELINE AND MILESTONES**

***NEW Text Option!***

***Instructions to Drafters:*** This text option requests that applicants provide a project management plan, including a project timeline, and a description of key milestones in their proposed project.

Provide quantitative monthly or quarterly projections of the accomplishments to be achieved for each function, or activity, in such terms as the number of people to be served and the number of activities accomplished. Data may be organized and presented as project tasks and subtasks with their corresponding timelines during the project period. For example, each project task could be assigned to a row in the first column of a grid. Then, a unit of time could be assigned to each subsequent column, beginning with the first unit (i.e., week, month, quarter) of the project and ending with the last. Shading, arrows, or other markings could be used across the applicable grid boxes or cells, representing units of time, to indicate the approximate duration and/or frequency

of each task and its start and end dates within the project period.

When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

Option:           **EVALUATION PLAN**

***New Text Option!***

***Instructions to Drafters:*** *This evaluation request refers to a plan that will be submitted as part of the application for funding. It does not refer to post-award evaluation requirements that may be part of the terms, conditions, or requirements of the award.*

***If the PO requires a specific set of questions, or domains, for evaluation of a project after the award is made, that may constitute a separate information collection that may require separate OMB approval under the PRA. Contact ACF's OMB/PRA Liaison in OPRE for consultation on post-award information requests and OMB clearance.***

*Two options of requests for evaluation plans are offered. Drafters may select **one or both** of the evaluation options as a required part of the application's Project Description.*

***NOTE:*** *Drafters that include this option must also include a selection under "LOGIC MODEL."*

Applicants must describe the plan for the program performance evaluation that will contribute to continuous quality improvement. The program performance evaluation should monitor ongoing processes and the progress towards the goals and objectives of the project. Include descriptions of the inputs (e.g., organizational profile, collaborative partners, key staff, budget, and other resources), key processes, and expected outcomes of the funded activities. The plan must be supported by a logic model and must explain how the inputs, processes and outcomes will be measured, and how the resulting information will be used to inform improvement of funded activities.

Applicants must describe the systems and processes that will support the organization's performance management requirements through effective tracking of performance outcomes, including a description of how the organization will collect and manage data (e.g. assigned skilled staff, data management software) in a way that allows for accurate and timely reporting of performance outcomes. Applicants must describe any potential obstacles for implementing the program performance evaluation and how those obstacles will be addressed.

Applicants must describe the plan for rigorous evaluation of funded activities. The evaluation must be supported by a logic model. The evaluation must assess processes and progress towards the goals and objectives of the project, and whether the project is having the expected effects and impacts. The evaluation plan must specify expected outcomes and any research questions. The plan must discuss how the results of this evaluation will provide greater

understanding and improvement of the funded activities. The plan must include a valid and reliable measurement plan and sound methodological design. Details regarding the proposed data collection activities, the participants, and data management, and analyses plans must be described. Applicants must describe any potential obstacles foreseen in implementation of the planned evaluation and how those obstacles will be addressed.

Option: **GEOGRAPHIC LOCATION**

***Instructions to Drafters:*** Check the box to include this option in the Project Description.

Describe the precise location of the project and boundaries of the area to be served by the proposed project.

Option: **LEGAL STATUS OF APPLICANT ENTITY**

***Instructions to Drafters:***

***This is a two-part text option. PLEASE READ THE INSTRUCTIONS!***

**Part 1 Legal Status of Applicant Entity**

***Part 1 may be used alone only if non-profit organizations are not eligible.***

*Part 1 consists of checking the box to include the title of "Legal Status, etc.... and the lead-in sentence "Applicants must provide the following documentation of their legal status:"*

*In the **Part 1 text box**, list the specific types of documentation required from an applicant in order to certify their legal status and/or eligibility. This may include, but is not limited to, items such as Governing Board Membership Documentation and/or articles of incorporation.*

***Do not list proof of non-profit status in the Part 1 text box.  
Proof of non-profit status is Part 2 of this option.***

**Part 1: Legal Status of Applicant Entity**

Applicants must provide the following documentation under this program announcement. Please provide:

**TEXT BOX**

**PART 2 Legal Status of Applicant Entity: Non-profit status.**

**PART 2 MAY NOT BE USED BY ITSELF! Part 2 must be used in conjunction with Part 1 (title and lead-in sentence).**

**Part 2 is Proof of non-profit status in which three options are available.**

*If non-profit organizations were selected as eligible applicants in FORECAST, this text option will be pre-selected but may not be specific to the types of non-profit organizations eligible under this FOA. See the further instructions in this section.*

**Drafters may select only one option for proof of non-profit status.**

**Proof of Non-Profit Status Options:**

**Option 1: 501(c)(3) and non-501(c)(3) non-profit organizations are eligible**

Non-profit organizations applying for funding are required to submit proof of their non-profit status. Proof of non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt organizations described in the IRS Code.
- 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 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.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

When applying electronically, it is strongly suggested that the applicant attach proof of non-profit status with the electronic application.

**Option 2: Only 501(c)(3) organizations are eligible**

Non-profit 501(c)(3) organizations applying for funding are required to submit proof of their non-profit status. Proof of 501(c)(3) non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt 501(c)(3) organizations described in the IRS Code.
- A copy of a currently valid IRS 501(c)(3) tax-exemption certificate.

When applying electronically, it is strongly suggested that the applicant attach proof of non-profit status with the electronic application.



### Option 3: 501(c)(3) and 501(c)(4) organizations are eligible

Non-profit 501(c)(3) and 501(c)(4) organizations applying for funding are required to submit proof of their non-profit status. Proof of 501(c)(3) and 501(c)(4) non-profit status is any one of the following:

- A reference to the applicant organization's listing in the IRS's most recent list of tax-exempt 501(c)(3) and 501(c)(4) organizations described in the IRS Code.
- A copy of a currently valid IRS 501(c)(3) and 501(c)(4) tax-exemption certificate.

When applying electronically, it is strongly suggested that the applicant attach proof of non-profit status with the electronic application.

Option: **ADDITIONAL ELIGIBILITY DOCUMENTATION**

#### ***New Text Option!***

***Instructions to Drafters:*** This is a new option that requests applicants to submit required documentation or credentials that will support their eligibility.

*Documentation/credentials requested under this option should also be described in Section III.1. Eligible Applicants or in Section III.1. Additional Information on Eligibility.*

Provide additional required documentation or required credentials to support eligibility for an award, as described in *Section III. Eligibility Information* of this announcement:

**TEXT BOX**

Option: **LOGIC MODEL**

***Instructions to Drafters:*** Two styles of logic models are offered in this option. Drafters may choose one.

***Note:*** Drafters that have included the option for "Evaluation Plan" must include a selection of one of the Logic Models.

Applicants must submit a logic model for designing and managing their project. A logic model is a one-page diagram that presents the conceptual framework for a proposed project and explains the links among program elements. While there are many versions of logic models, for the purposes of this announcement the logic model should summarize the connections between the:

- Goals of the project (e.g., objectives, reasons for proposing the intervention, if applicable);
- Assumptions (e.g., beliefs about how the program will work and its supporting resources. Assumptions should be based on research, best practices, and experience.)
- Inputs (e.g., organizational profile, collaborative partners, key staff, budget, other resources);

- Target population (e.g., the individuals to be served)
- Activities (e.g., approach, listing key intervention, if applicable);
- Outputs (i.e., the direct products or deliverables of program activities); and
- Outcomes (i.e., the results of a program, typically describing a change in people or systems).

Applicants must submit a logic model for designing and managing their project. A logic model is a tool that presents the conceptual framework for a proposed project and explains the linkages among program elements. While there are many versions of the logic model, they generally summarize the logical connections among the needs that are the focus of the project, project goals and objectives, the target population, project inputs (resources), the proposed activities/processes/outputs directed toward the target population, the expected short- and long-term outcomes the initiative is designed to achieve, and the evaluation plan for measuring the extent to which proposed processes and outcomes actually occur.

Option:           **PROJECT SUSTAINABILITY PLAN**

***Instructions for Drafters:*** *If the planned project period under the FOA is for 48, or 60 months, this option must be selected for inclusion in the FOA. Additionally, **review of the plan for project continuance beyond grant support must be included in the Evaluation Criteria in Section V.1.***

*For related policy, see the HHS Action Transmittal, OG-AT-2009-01, "Evaluating Sustainability of HHS Projects," effective: 01/07/2009 (available in the AM System Help tab).*

Applicants must propose a plan for project sustainability after the period of Federal funding ends. Grantees are expected to sustain key elements of their grant projects, e.g., strategies or services and interventions, which have been effective in improving practices and those that have led to improved outcomes for children and families.

Describe the approach to project sustainment that will be most effective and feasible. Describe the key individuals and/or organizations whose support will be required in order to sustain program activities. Describe the types of alternative support that will be required to sustain the planned program. If the proposed project involves key project partners, describe how their cooperation and/or collaboration will be maintained after the end of Federal funding.

Option:           **BUSINESS PLAN**

***Instructions to Drafters:*** *If a business plan is a required as part of the project description, select this option and use the text box to describe its required elements. Drafters may use this text box to provide definitions, descriptions, requirements, and/or any necessary instructions.*

When Federal grant funds will be used to support a business operation, provide a business plan.

The business plan shall include:

**TEXT BOX**

Option:           **ORGANIZATIONAL CAPACITY**

***New and Revised Options Available!***

***Instructions to Drafters:*** Check the boxes for the items that applicants must include in their application submission. This option assumes that at least one item in the checklist will be selected. If no items are selected in the checklist, the text on staff and position data will not appear.

Provide the following information on the applicant organization and, if applicable, on any cooperating partners:

- Organizational charts;
- Resumes (no more than two single-spaced pages in length);
- Curricula Vitae (CV);
- Biographical Sketches (short narrative description);
- College transcripts for graduate student research fellows;
- List of Board of Directors;
- Financial statements adhering to Generally Accepted Accounting Principles (GAAP), if available, submit statements for up to the two most recently completed fiscal years (this requirement does not apply to start-up organizations);
- Audit reports or statements from Certified Public Accountants/Licensed Public Accountants if available, submit statements for up to the two most recently completed fiscal years (this requirement does not apply to start-up organizations);
- Copy or description of the applicant organization's fiscal control and accountability procedures;
- Evidence that the applicant organization, and any partnering organizations, have relevant experience and expertise with administration, development, implementation, management, and evaluation of programs similar to that offered under this announcement;
- Evidence that each participating organization, including partners and/or subcontractors, possess the organizational capability to fulfill their role(s) and function(s) effectively;
- Copy or description of the applicant organization's personnel policies;
- Names of payment/performance Bond carriers used by the applicant organization (construction projects);
- Child care licenses and other documentation of professional accreditation;
- Information on compliance with Federal/State/local government standards;
- Job descriptions for each vacant key position.

Option:           **PROTECTION OF SENSITIVE AND/OR CONFIDENTIAL**

## INFORMATION

**Instructions to Drafters:** Select this option if applicants are required to collect any sensitive or confidential information during the project.

If any confidential or sensitive information will be collected during the course of the project, whether from staff (e.g., background investigations) or project participants and/or project beneficiaries, provide a description of the methods that will be used to ensure that confidential and/or sensitive information is properly handled and safeguarded. Also provide a plan for the disposition of such information at the end of the project period.

Option: **DISSEMINATION PLAN**

**Option is Revised and Expanded!**

**Instructions to Drafters:** Select this option if applicants are required to disseminate any products of the awarded project.

Applicants must propose a plan to disseminate reports, products, and/or grant project outputs so that project information is provided to key target audiences. Dissemination plans must include:

- Dissemination goals and objectives;
- Strategies to identify and engage with target audiences;
- Allocation of sufficient staff time and budget for dissemination purposes;
- A preliminary plan to evaluate the extent to which target audiences have received project information and have used it as intended.

Option: **THIRD-PARTY AGREEMENTS**

**New and revised options!**

**Instructions to Drafters:** Four types of third-party agreements are offered for selection. Drafters may select as many of the available options as is necessary for the FOA. Though the term "letters of commitment" is often used instead of third-party agreements, the term approved in the information collection is "third-party agreements."

Third-party agreements include Memoranda of Understanding (MOU) and Letters of Commitment. General letters of support are **not** considered to be third-party agreements. Third-party agreements must clearly describe the project activities and support to which the third party is committing. Third-party agreements must be signed by the person in the third-party organization with the authority to make such commitments on behalf of their organization.

Provide written and signed agreements between grantees and subgrantees, or subcontractors, or other cooperating entities. These agreements must detail the scope of work to be performed,

work schedules, remuneration, and other terms and conditions that structure or define the relationship.

Collaboration/consortia applicants must provide letters of commitment or MOU identifying the primary applicant that is responsible for administering the grant. The primary applicant must provide documentation of the commitments made by partnering organizations and describe in detail their roles and responsibilities as partners in the collaboration/consortia.

A third-party agreement covering a loan transaction must contain, at a minimum, the following information: (1) purpose(s) for which the loan is being made; (2) interest rates and other fees; (3) terms of the loan; (4) repayment schedules; (5) Collateral security; (6) default and collection procedures; (7) signatures of the authorized officials of the lender and the borrower.

A third-party agreement covering an equity investment must contain, at a minimum, the following: (1) purpose(s) for which the equity investment is being made; (2) the type of equity transaction (e.g. stock purchase); (3) cost per share and basis on which the cost per share is derived; (4) number of shares being purchased; (5) percentage of ownership in the business; (6) term of duration of the agreement; (7) number of seats on the board, if applicable; (8) signatures of the authorized officials of the grantee and third party organization.

Option:           **LETTERS OF SUPPORT**

***Instructions to Drafters:*** Select this option to include it in the Project Description. Do not confuse this option with third-party agreements or MOU.

Provide statements from community, public, and commercial leaders that support the project proposed for funding. All submissions must be included in the application package.

Option:           **PLAN FOR OVERSIGHT OF FEDERAL AWARD FUNDS**

***New Option Available!***

***Instructions to Drafters:*** Check the box to include in the Project Description request for information.

Provide a plan describing how oversight of Federal funds will be ensured and how grant activities and partner(s) will adhere to applicable Federal and programmatic regulations. Applicants must identify staff that will be responsible for maintaining oversight of program activities, staff, and partner(s). Applicants must describe procedures and policies used to oversee staff and/or partners/contractors.

Describe organizational records systems that relate financial data to performance data by identifying the source and application of Federal funds so that they demonstrate effective control over and accountability for funds, compare outlays with budget amounts, and provide accounting records supported by source documentation.

## **THE PROJECT BUDGET AND BUDGET JUSTIFICATION**

***New and revised options! Text box for instructions is available!***

***Instructions to Drafters:*** Select one or more options that describe the budget development required for applications submitted under this FOA.

*A text box is provided after the 3 options to allow PO Drafters to provide further directions to applicants on filling out the SF-424A or the SF-424C. For example, Drafters might use the text box to remind applicants to include costs for project leadership/staff to travel to DC for required meetings.*

*The text box may also be used to request multiple budgets when interoperable projects will receive multiple awards under a single application.*

***The text box is meant for Drafters to provide clarification only. It may not be used to request additional budget information.***

All applicants are required to submit a project budget and budget justification with their application. The project budget is input on the Budget Information Standard Form, either SF-424A or SF-424C, according to the directions provided with the SFs. The budget justification consists of a budget narrative and a line-item budget detail that includes detailed calculations for "object class categories" identified on the Budget Information Standard Form. The budget narrative and the line-item detail may be separate documents or a single document. The line-item budget detail and the budget narrative must be submitted as a single Budget Justification application component.

Project budget calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated. If matching or cost sharing is a requirement, applicants must include a detailed listing of any funding sources identified in Block 18 of the SF-424 (Application for Federal Assistance). See the table in *Section IV.2. Required Forms, Assurances, and Certifications* listing the appropriate budget forms to use in this application.

The budget justification (line-item budget detail and budget narrative) will not count toward page limitations; however, the justification should be no more than 10 single-spaced pages with fonts of no less than 12-points.

Provide a budget using the 424A and/or 424C, as applicable, for each year of the proposed project. Provide a budget justification, which includes a budget narrative and a line-item detail, for the first year of the proposed project. The budget narrative should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

Provide a budget using the 424A and/or 424C, as applicable, for each year of the proposed project. Provide a budget justification, which includes a budget narrative and a line-item detail, for each year of the proposed project. The budget narrative should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

Provide a budget using the 424A and/or the 424C, as applicable, for the proposed project that is being fully funded (the budget period and the project period are the same). Provide a budget justification, which includes a budget narrative and a line-item detail, for the proposed project. The budget narrative should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

**TEXT BOX**

**GENERAL**

Use the following guidelines for preparing the budget and budget justification. When a match or cost share is required, both Federal and non-Federal resources must be detailed and justified in the budget and budget narrative justification. "Federal resources" refers only to the ACF grant funds for which the applicant is applying. "Non-Federal resources" are all other non-ACF Federal and non-Federal resources. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal budget; next column(s), non-Federal budget(s); and last column, total budget. The budget justification should be in a narrative form.

Option:       **PERSONNEL**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known at the time of application. For each staff person provide: the title; time commitment to the project in months; time commitment to the project as a percentage or full-time equivalent; annual salary; grant salary; wage rates; etc. Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant. Contractors and consultants should not be placed under this category.

Option:       **FRINGE BENEFITS**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA) taxes, retirement insurance, and taxes.

Option: **TRAVEL**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: Costs of out-of-state or overnight project-related travel by employees of the applicant organization (does not include in-state travel or consultant travel).

Justification: For each trip show the total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used to travel out of town; and other transportation costs and subsistence allowances. If appropriate for this project, travel costs for key project staff to attend ACF-sponsored workshops/conferences/grantee orientations should be detailed in the budget.

Option: **EQUIPMENT**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: "Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year per unit and an acquisition cost that equals or exceeds the lesser of: (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation, shall be included in or excluded from acquisition cost in accordance with the applicant organization's regular written accounting practices.)

Justification: For each type of equipment requested applicants must provide a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use of the equipment in the project; as well as a plan for the use, and/or disposal of, the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition.

Option: **SUPPLIES**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.



Description: Costs of all tangible personal property other than that included under the Equipment category. This includes office and other consumable supplies with a per-unit cost of less than \$5,000.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

Option:           **CONTRACTUAL**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contracts with secondary recipient organizations (with budget detail), including delegate agencies and specific project(s) and/or businesses to be financed by the applicant. This area is not for individual consultants.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open, and free competition. Recipients and subrecipients, other than States that are required to use 45 CFR Part 92 procedures, must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold fixed at 41 U.S.C. 403(11), currently set at \$150,000. Recipients may be required to make pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc., available to ACF.

Note: Whenever the applicant intends to delegate part of the project to another agency, the applicant must provide a detailed budget and budget narrative for each contractor/sub-contractor, by agency title, along with the same supporting information referred to in these instructions. If the applicant plans to select the contractors/sub-contractors post-award and a detailed budget is not available at the time of application, the applicant must provide information on the nature of the work to be delegated, the estimated costs, and the process for selecting the delegate agency.

Option:           **CONSTRUCTION**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: Costs of construction by applicant or contractor.

Justification: Provide a detailed budget and narrative in accordance with the instructions for other object class categories. Identify which construction activities/costs will be contractual and those that the applicant will assume.

Option:           **OTHER**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: consultant costs, local travel; insurance; food (when allowable); medical and dental costs (noncontractual); professional services costs (including audit charges); space and equipment rentals; printing and publication; computer use; training costs, such as tuition and stipends; staff development costs; and administrative costs.

Justification: Provide computations, a narrative description, and a justification for each cost under this category.

Option:           **INDIRECT CHARGES**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: Total amount of indirect costs. This category should be used only when the applicant currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant Federal agency.

Justification: An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not be charged as direct costs to the grant. Also, if the applicant is requesting a rate that is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

Option:           **PROGRAM INCOME**

***Instructions to Drafters:*** Check the box to include this option in the Project Budget and Budget Justification information request.

Description: The estimated amount of income, if any, expected to be generated from this project. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of

commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds.

Justification: Describe the nature, source, and anticipated use of program income in the budget or refer to the pages in the application that contain this information.

Option:           **COMMITMENT OF NON-FEDERAL RESOURCES**

***NEW Title/Revised Option***

*Select this text option only when there is a cost sharing or matching requirement in Section III.2 of the FOA. If a cost sharing or matching requirement was selected in FORECAST, this UPD text option will be pre-selected for the Budget and Budget Justification and for the Checklist in Section VIII.*

Description: Amounts of non-Federal resources that will be used to support the project as identified in Block 18 of the SF-424. The match calculation applies to the total project cost (including match) and not just to the Federal share.

Justification: If an applicant is relying on match from a third party, then a firm commitment of these resources (letter or other documentation) is required with the application. Detailed budget information must be provided for every funding source identified in Block 18 of the SF-424.

**Part III           GUIDELINES FOR PREPARING A PROJECT DESCRIPTION FOR AN ABBREVIATED APPLICATION**

Option:           **APPLICATIONS FOR NON-COMPETING CONTINUATION AWARDS**

A full project description will not be required for non-competing continuation applications for non-construction programs unless requested in writing by [ACF drafters: Insert name of ACF Program Office administering the program].

Option:           **APPLICATIONS FOR SUPPLEMENTAL AWARDS**

For a supplemental assistance request, explain the reason for the request and justify the need for additional funding. Provide a budget and budget justification **only** for those costs for which additional funds are requested.