

Official AFI Grant Documentation

Each AFI grantee receives official documentation for its grant. The documentation includes the Federal Financial Assistance Award (FAA) and the terms and conditions. The FAA lists vital information about the grantee organization and the grant. The terms and conditions spell out the framework for the grant, reporting requirements, and so forth.

Federal Financial Assistance Award

The FAA document and accompanying letter constitute the official paperwork for each AFI Project grant. The FAA lists a number of important pieces of information, including

- Recipient organization (grantee) name and address
- Program director
- Recipient organization's employer identification number
- Grant award amount
- Remarks from the Office of Grants Management

The following pages include reduced-size examples of the FAA letter and the two-page FAA, as well as space where you can insert a copy of the letter and FAA your agency received. If you have more than one AFI award, keep each set of award documents separately.

Terms and Conditions

This section of the HANDBOOK includes sample terms and conditions documents for AFI Project grants and a placeholder where you can insert the terms and conditions for your grants. All AFI grantees are subject to two categories of terms and conditions:

1. Standard terms and conditions (applicable to a broad group of ACF grantees)
2. Special terms and conditions ("Special" for AFI grantees owing to the unique nature of the AFI Program).

The terms and conditions are generally the same for AFI grants issued in any grant year. They do, however, vary slightly from year to year. If you do not have a copy of the official documentation for your grant, you can obtain terms and conditions for your AFI Project from the asset-building Web site at <http://www.acf.hhs.gov/assetbuilding> (go to "For Grantees" and see "Policy and Guidance") or from OGM or OCS directly.

Examples of both types of terms and conditions follow the award letter and FAA.

Sample Financial Assistance Award Documents



DEPARTMENT OF HEALTH & HUMAN SERVICES

ADMINISTRATION FOR CHILDREN AND FAMILIES
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

GRANTEE AUTHORIZED REPRESENTATIVE

GRANTEE AGENCY NAME

Address 1

Address 2

City, State

Assets for Independence Program Grant Number: 90EIO _____

Dear _____:

It is my pleasure to inform you that the Office of Community Services (OCS) has approved AGENCY NAME'S request for \$_____ in Assets for Independence (AFI) Program funding.

Enclosed please find official grant award documentation, including the Financial Assistance Award notice, the Standard Terms and Conditions and Special Terms and Conditions. Please review and become familiar with these documents, as they, together with your organization's proposal, are the framework for the project and grant implementation.

The following paragraphs provide details about the AFI Resource Center and ACF points of contact for this grant.

Training and Technical Assistance

OCS is committed to working in close partnership with all AFI Program grantees to produce the best possible outcomes for grantees and their participants. We manage the AFI Resource Center in order to ensure that all grantees have access to an array of training and technical assistance services and opportunities. The program webpage at <http://www.acf.hhs.gov/assetbuilding>, part of the Resource Center, provides helpful information including tip sheets, sample tools, reporting forms and guidance for grantees. Our staff will be in contact with you soon to introduce you to the Resource Center and to discuss training and technical assistance resources that may be available.

AFI Contacts -- Communications and Reports

OCS works closely with the Administration for Children and Families' Office of Grants Management (OGM) to administer the AFI Program. OCS and OGM have distinct but complementary roles and responsibilities for this grant program, and each office has

assigned a point person to work with your agency on all issues concerning your project and the grant.

For **Programmatic Issues and Activities** (such as programmatic guidelines; requests for technical assistance or training; project performance issues; and annual data collection processes for the national program evaluation and the annual Report to Congress), please contact the AFI Program Manager:

James K. Gatz
Program Manager
Office of Community Services
Administration for Children and Families
370 L'Enfant Promenade, S.W., 5th Floor West
Washington, D. C. 20447
Telephone: (202) 401-4626
Email: afiprogram@acf.hhs.gov

For **Non-Programmatic Issues and Activities** (such as requests for drawdown of Federal grant funds; issues with financial matters; and guidance on annual financial reports and narrative progress reports), please contact your OGM Specialist:

NAME
Grants Management Specialist
Division of Discretionary Grants / Office of Grants Management
Administration for Children and Families
370 L'Enfant Promenade, S.W., 4th Floor East
Washington, D. C. 20447
Telephone: (202) 401-4736
Email: NAME@acf.hhs.gov

Please direct all official reports to NAME, with a copy to James Gatz. Please include your official grant number on all correspondence.

I wish you much success with this important work!

Sincerely,

Josephine B. Robinson
Director
Office of Community Services

Enclosures

ASSETS FOR INDEPENDENCE

1. RECIPIENT DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES FINANCIAL ASSISTANCE AWARD		SAI NUMBER: PMS DOCUMENT NUMBER: 90EIO35301	
1. AWARDING OFFICE: Office of Community Services	2. ASSISTANCE TYPE: Discretionary Grant	3. AWARD NO.: 90EIO[REDACTED]	4. AMEND. NO.:
5. TYPE OF AWARD: DEMONSTRATION	6. TYPE OF ACTION: New	7. AWARD AUTHORITY: PL 105-285, 42 USC 604	
8. BUDGET PERIOD: 09/30/2005 THRU 09/29/2010	9. PROJECT PERIOD: 09/30/2005 THRU 09/29/2010	10. CAT NO.: 93602	
11. RECIPIENT ORGANIZATION: [REDACTED]		12. PROJECT / PROGRAM TITLE: Assets for Independence Demonstration Program (IDA Program)	
13. COUNTY: [REDACTED]	14. CONGR. DIST: [REDACTED]	15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR: [REDACTED]	
16. APPROVED BUDGET:		17. AWARD COMPUTATION:	
Personnel.....	\$ 0	A. NON-FEDERAL SHARE.....	\$ 849,409 50.00 %
Fringe Benefits.....	\$ 0	B. FEDERAL SHARE.....	\$ 849,409 50.00 %
Travel.....	\$ 0	18. FEDERAL SHARE COMPUTATION:	
Equipment.....	\$ 0	A. TOTAL FEDERAL SHARE.....	\$ 849,409
Supplies.....	\$ 0	B. UNOBLIGATED BALANCE FEDERAL SHARE.....	\$
Contractual.....	\$ 0	C. FED. SHARE AWARDED THIS BUDGET PERIOD..	\$ 849,409
Facilities/Construction.....	\$ 0	19. AMOUNT AWARDED THIS ACTION:	\$ 849,409
Other.....	\$ 849,409	20. FEDERAL \$ AWARDED THIS PROJECT PERIOD:	\$ 849,409
Direct Costs.....	\$ 849,409	21. AUTHORIZED TREATMENT OF PROGRAM INCOME:	
Indirect Costs.....	\$ 0	ADDITIONAL COSTS	
At % of \$		22. APPLICANT EIN:	[REDACTED]
In Kind Contributions.....	\$ 0	23. PAYEE EIN:	[REDACTED]
Total Approved Budget(**)..	\$ 849,409	24. OBJECT CLASS:	41.45

25. FINANCIAL INFORMATION:						
ORGN	DOCUMENT NO.	APPROPRIATION	CAN NO.	NEW AMT.	UNOBLIG.	NONFED %
OCS	[REDACTED]	75-5-1536	2005 G991115	\$849,409		

26. REMARKS: (Continued on separate sheets)
 Paid by DHHS Payment Management System (PMS), see attached for payment information.
 This grant is subject to the requirements set forth in 45 CFR part 74 (for non-profit organizations and educational institutions) or 45 CFR Part 92 (for state, local, and federally recognized tribal governments).
 Initial expenditure of funds by the grantee constitutes acceptance of this award.
 No future support is anticipated.
 (**) Reflects only federal share of approved budget. There are special conditions attached to this award.
 RESTRICTION PLACED ON FEDERAL FUNDS

27. SIGNATURE - ACF GRANTS OFFICER <i>Barbara A. Ziegler Johnson</i> Barbara A. Ziegler Johnson	DATE: 08/15/05	28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY <i>Lynda E. Perez</i> Lynda E. Perez	DATE: 8/17/05
29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S) <i>Josephine B. Robinson for</i> Josephine B. Robinson, Director, OCS			

1. RECIPIENT DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES FINANCIAL ASSISTANCE AWARD		SAI NUMBER: PMS DOCUMENT NUMBER: [REDACTED]	
1. AWARDING OFFICE: Office of Community Services		2. ASSISTANCE TYPE: Discretionary Grant	3. AWARD NO.: [REDACTED]
5. TYPE OF AWARD: DEMONSTRATION		6. TYPE OF ACTION: New	4. AMEND. NO.
8. BUDGET PERIOD: 09/30/2005 THRU 09/29/2010		7. AWARD AUTHORITY: PL 105-285, 42 USC 604	10. CAT NO.: 93602
9. PROJECT PERIOD: 09/30/2005 THRU 09/29/2010			
11. RECIPIENT ORGANIZATION: [REDACTED]			

26. REMARKS: (Continued from previous page)

Grantee must comply with the following special conditions:

1. A minimum of \$16,988 (2%) of Federal grant funds and an equal amount of non-Federal contribution to the Reserve Fund shall be expended to provide the research organization evaluating the demonstration project under P.L. 105-285 Section 414 of the AFIA with such information with respect to the demonstration project as may be required for the evaluation.
2. At least \$721,998 (85%) of Federal grant funds and an equal amount of non-Federal cash contributions to the Reserve Fund shall be provided as matching deposits to the Individual Development Accounts of eligible individuals selected by the grantee to participate in the demonstration project.
3. The balance of Federal grant funds, but not more than \$110,423 (13%) and an equal amount of non-federal contribution to the Reserve Fund, may be expended for administration of the demonstration project for economic literacy training and other administrative functions and support activities under P.L. 105-285 Section 407(c)(3) or for the purposes under (1) and (2) above.
4. Wells Fargo, identified in the grant application as the federally insured (FDIC) financial institution for deposit of Reserve Fund has been approved.
5. Total number of IDA accounts to open is 361.
6. Grantee assumes complete responsibility for the administration of this grant and assumes complete responsibility for the accountability of all funds received under this award.

AFI GRANT DOCUMENTS

Financial Assistance Award

*Please insert the financial assistance award
letter for your AFI grant(s) here.*

AFI GRANT DOCUMENTS

Financial Assistance Award

*Please insert the financial assistance award
documentation for your AFI grant(s) here
(see sample).*

SAMPLE: STANDARD TERMS AND CONDITIONS
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Standard Terms and Conditions for 2004 AFI Grants

The attached Financial Assistance Award is subject to Federal legislation and to DHHS and ACF regulations and policies. These include the following:

1. For institutions of higher education, hospitals, other non-profit organizations, and commercial (for-profit) organizations, Title 45 of the Code of Federal Regulations (45 CFR) Part 74, *"Uniform Administrative Requirements for Awards and Subawards to Institutes of Higher Education, Hospitals, Other Non-Profit Organizations; and Commercial Organizations; and Certain Grants and Agreements with States, Local Governments and Indian Tribal Governments."*
<http://www.gpoaccess.gov/cfr/index.html>
2. For States, local governments and Federally recognized Indian Tribes, 45 CFR Part 92, *"Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."* <http://www.gpoaccess.gov/cfr/index.html>
3. Other DHHS regulations codified in Title 45 of the Code of Federal Regulations
<http://www.gpoaccess.gov/cfr/index.html>
 - Part 16 - Procedures of the Departmental Grant Appeals Board
 - Part 30 - Claims Collection
 - Part 46 - Protection of Human Subjects
 - Part 76 - Governmentwide Debarment and Suspension (Non-Procurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)
 - Part 80 - Nondiscrimination Under Programs Receiving Federal Assistance through the DHHS Effectuation of Title VI of the Civil Rights Act of 1964
 - Part 81 - Practice and Procedure for Hearings Under Part 80 of This Title
 - Part 84 - Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving Federal Financial Assistance
 - Part 86 - Nondiscrimination on the Basis of Sex in Education Programs and Activities Receiving or Benefiting From Federal Financial Assistance
 - Part 91 - Nondiscrimination on the Basis of Age in HHS Programs or Activities Receiving Federal Financial Assistance
 - Part 93 - New Restrictions on Lobbying
 - Part 100 - Intergovernmental Review of DHHS Programs and Activities

4. 37 CFR Part 401 - Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts, and Cooperative Agreements. <http://www.gpoaccess.gov/cfr/index.html>
5. The grantee must address the Secretary of the Interior's Standards for the Treatment of Historical Properties 36 CFR Part 68. <http://www.gpoaccess.gov/cfr/index.html>
6. The recipient organization must carry out the project according to the application as approved by the Administration for Children and Families (ACF), including the proposed work program and any amendments, all of which are incorporated by reference in these terms and conditions.
7. If this is a multi-year project and it is not the final budget period, the grantee is advised that future awards for continuation of this project will be dependent upon the availability of Federal funds, satisfactory progress by the grantee, and ACF's determination that continued funding is in the best interest of the Federal government.
8. Grantees shall liquidate all obligations incurred under the award not later than 90 days after the end of the project period. The only exceptions to this rule are the basic Head Start grants with an indefinite project period. For these grants, liquidation of obligations should occur not later than 90 days after each budget period. In either case, an unobligated balance from a prior budget period does not authorize a grantee to obligate funds in excess of the total federally approved budget reflected on the FAA for the current budget period.
9. The DHHS Inspector General maintains a toll free number, **800-HHS-TIPS** (800-447-8477), for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Such reports are kept confidential, and callers may decline to give their names if they choose to remain anonymous. <http://www.oig.hhs.gov/hotline.html>
10. The grantee will take all necessary affirmative steps to ensure that small, minority and woman-owned business firms are utilized when possible as sources of supplies, services, equipment and construction. To the extent practicable, all equipment and products purchased with funds made available through this award should be American-made.
11. Failure to submit reports (i.e., financial, progress, or other required reports) on time may be the basis for withholding financial assistance payments, suspension, termination or denial of refunding. A history of such unsatisfactory performance may result in designation of "high risk" status for the recipient organization and may jeopardize potential future funding from DHHS.

12. Under Section 508 of Public Law 103-333, the following condition is applicable to all Federal awards: "When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments and recipients of Federal research grants shall clearly state (1) the percentage of the total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or program, and (3) the percentage and dollar amount of total costs of the project or program that will be refinanced by nongovernmental sources."

13. Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children's Act of 1994 requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment.
<http://www.ed.gov/legislation/GOALS2000/TheAct/sec1043.html>

14. For purposes of this award each item of equipment with an acquisition cost of less than \$5,000 is included under supplies, is allowable as a direct cost of this project, and does not require prior approval of the Grants Officer. Conversely, an item of equipment with an acquisition cost of \$5,000 or more is NOT considered an allowable project cost without prior written approval of the Grants Officer.
<http://www.whitehouse.gov/omb/circulars/index.html>

SAMPLE: SPECIAL TERMS AND CONDITIONS**Special Terms and Conditions for 2004 AFI Grants**

The following Special Terms and Conditions are the rules and responsibilities established by the Office of Grants Management (OGM) for AFI grantees funded in FY04.

1. **Grantee assumes complete responsibility for the administration and accountability of all funds (Federal & Non-Federal) received under this grant award.**
2. **Grantee must comply with legislation and all regulations and guidances established by the Secretary** regarding the Assets for Independence Demonstration Program **Reserve Fund and Investments of Reserve funds.**
3. **Grantees must comply with all regulations and guidances established by the Secretary regarding use of the program income generated from investment of reserve fund monies.**
4. **Grantees are required to report the status of funds on the Financial Status Report form SF 269 (long form).** Submit an original and two copies of the report. The grantee shall report semi-annually for the first year, then annually, thereafter, unless otherwise notified to report more frequently. The grantees shall submit the annual financial reports (SF-269) within 60 calendar days after the end of each budget year and a final report at the completion of the project within 90 days of the expiration of the grant. Extensions of due dates of financial status reports must be approved by the Grants Management Officer upon written request from the grantee.
5. **Grantees are required to submit Program Progress Reports** on the program **activities annually.** Submit an original and two copies of the report. The grantee shall report semi-annually for the **first** year, then **annually**, thereafter, unless otherwise notified to report more frequently. The grantees shall submit the program progress reports within 60 calendars days after the end of each budget year and a final report at the completion of the project within 90 days of the expiration of the grant. Extensions of due dates of program progress reports must be approved by Office of Grants Management upon written request from the grantee.
6. **Report of Federal Cash Transactions, PMS-272**, used to monitor cash advances to grantees and to obtain disbursement information for each account **has been waived** for the accounts authorized under the Assets for Independence funding.

7. **To obtain a cash withdrawal** against an Asset for Independence Demonstration grant account from the Division of Payment Management (DPM), the grantee must have:
 - a) **Established an account at an insured Financial Institution for the Reserve Funds** by using the Standard Form 1199-A (Direct Deposit Sign-up Form). Your choice of Financial Institution identified in your original application has been approved by the Office of Grants Management (OGM). **The grantee must notify the Office of Grants Management if there are any changes in Financial Institution.** If the location of deposits for the Reserve Fund changes, the grantee must submit the name of the new Financial Institution to the OGM and receive written approval to establish a new account. OGM must approve the establishment of the new account for the reserve funds.
 - b) **Submit to OGM via a letter(s)** certified on financial institution letterhead acknowledging **the account number** and the amount of non-federal share deposited into the Reserve Fund Account. **Deposit slips and cancelled check(s) will not be accepted as verification of deposit.** Once OGM has accepted the account statement, the Division of Payment Management (DPM) will be notified to immediately release federal funds up to the amount of non-federal deposit in the Reserve Fund.
 - c) **Submit to OGM via a letter(s)** on organization letterhead acknowledging **the account number**, the amount of non-federal share deposited into the Reserve Fund Account, and the amount of Federal dollars being requested. Once OGM has accepted the letter, the Division of Payment Management (DPM) will be notified to immediately release federal funds up to the amount of non-federal deposits in the Reserve Fund.
8. **Grantees are reminded that eligibility for participation** in the demonstration project is limited to individuals who are members of households eligible for assistance under TANF or of households whose **adjusted gross income does not exceed the earned income amount described in Section 32 of the Internal Revenue Code of 1986** (taking into account the size of the household), **and** whose net worth as of the end of the calendar year preceding the determination of eligibility does not exceed \$10,000, **excluding** the primary dwelling unit and one motor vehicle owned by a member of the household.

NOTE: The most recent EITC Earned Income Guidelines set the limits on annual income in the IDA Demonstration program.

<http://www.irs.gov/individuals/article/0,,id=96456,00.html>

AFI GRANT DOCUMENTS

Terms and Conditions

Please insert the standard terms and conditions and the special terms and conditions for your AFI grant(s) here (see samples).