

## Appendix N:

### Standard Budget Forms for AFI Applications

Requests for Federal assistance require a number of standard forms. Those related specifically to your project budget are:

- **Standard Form 424: Application for Federal Assistance.** Make sure the chairperson or executive director of the submitting organization signs this. You can find this two-page form on the Web, at <http://www.acf.hhs.gov/programs/ofs/forms.htm>.<sup>1</sup> See below for a sample of this form.
- **Standard Form 424A: Budget Information – Non-Construction Programs.** You can find this four-page form at <http://www.acf.hhs.gov/programs/ofs/forms.htm>.<sup>2</sup> See below for a sample of this form.

**Electronic Submissions:** All required forms, budgetary and nonbudgetary, may be submitted as part of a complete electronic application. The content of the forms will be as described below. For instructions on the electronic submission process, go to: <http://www.grants.gov>. Note that you should read the information under “Prepare to Apply for Grants Through Grants.gov” carefully and follow the directions exactly. There are several registration steps involved before you can download an application package or submit a completed application. *So begin this process well ahead of the application due date* so that you will have ample time to handle any technical difficulties that may arise and are not competing with other applicants for access in the final days or hours of the application period.

#### *Reflecting AFI Guidelines on Standard Forms*

The Assets for Independence guidelines include several specifications for how funds are used, as well as the requirement of a dollar-for-dollar nonfederal cash contribution to the Project Reserve Account. Because of these unique requirements, applicants may find that some of the usual instructions to complete the standard forms related to budgets are difficult to follow. Here we provide assistance on specific parts of the Standard Form 424, the Request for Federal Assistance, and the Standard Form 424A, Budget Information, Non-Construction Programs.

The majority of the fields on these two forms are self-explanatory and not affected by AFI requirements. Both of these forms should reflect only the funds you plan to have in your Project Reserve Account, though many projects will also be drawing on other resources to provide administrative and programmatic support.

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<sup>1</sup>From this site, select **Application Forms**. Click on this or scroll down to **Grant Application Forms, Application for Federal Assistance SF-424, Version 2. This is the current version of the form, but you may use the earlier version, dated 7/03.**

<sup>2</sup>From this site, select **Application Forms**. Click on this or scroll down to **Grant Application Forms, Non-Construction Programs SF-424A.**

## *Standard Form 424, Request for Federal Assistance*

This form is a cover sheet for your entire proposal and captures basic information about the applicant organization, contact data, location of the project, and the like. The only budgetary element is the section entitled “Estimated Funding.” This is the part of the form in which you enter summary figures for your AFI budget, in particular the Project Reserve Account. This is section 18 on the new version of the form that you will use if you apply through Grants.gov. If you use the older, one-page version, it is section 15. There are five key points that require special attention:

- The figures here should represent your request of Federal funds and nonfederal cash contribution *for the full project period*, up to five years, *not* for one year only.
- The Federal line is the amount you are requesting from AFI.
- The total of figures entered for the applicant (your agency), state, local, and other sources equals the total in the Federal line.
- There will be nothing in the program income line.
- Be sure your total budget figure here matches the corresponding total budget figure on the SF-424A and in your detailed narrative budget. Similarly, the Federal Amount should correspond to the Federal amount shown on the SF-424A.

Following is the SF-424, Request for Federal Assistance, Ver. 2, expiration date 07/31/06. You may use the previous version of the SF-424, Ver. 7/03. There are no items on the earlier version that are not also on the new version. Only the box numbers vary because of the addition of new items to Version 2.

Application for Federal Assistance SF-424		Version 02	
<b>1. Type of Submission:</b> <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		<b>2. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<b>3. If Revision, select appropriate letter(s):</b> <input type="text"/> <b>4. Other (Specify):</b> <input type="text"/>
<b>3. Date Received:</b> <input type="text"/>		<b>4. Applicant Identifier:</b> <input type="text"/>	
<b>5a. Federal Entity Identifier:</b> <input type="text"/>		<b>5b. Federal Award Identifier:</b> <input type="text"/>	
<b>State Use Only:</b>			
<b>6. Date Received by State:</b> <input type="text"/>		<b>7. State Application Identifier:</b> <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>			
<b>a. Legal Name:</b> <input type="text"/>			
<b>b. Employer/Taxpayer Identification Number (EIN/TIN):</b> <input type="text"/>		<b>c. Organizational DUNS:</b> <input type="text"/>	
<b>d. Address:</b>			
<b>Street1:</b> <input type="text"/>			
<b>Street2:</b> <input type="text"/>			
<b>City:</b> <input type="text"/>			
<b>County:</b> <input type="text"/>			
<b>State:</b> <input type="text"/>			
<b>Province:</b> <input type="text"/>			
<b>Country:</b> <input type="text"/>			
<b>Zip / Postal Code:</b> <input type="text"/>			
<b>e. Organizational Unit:</b>			
<b>Department Name:</b> <input type="text"/>		<b>Division Name:</b> <input type="text"/>	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>			
<b>Prefix:</b> <input type="text"/>		<b>First Name:</b> <input type="text"/>	
<b>Middle Name:</b> <input type="text"/>			
<b>Last Name:</b> <input type="text"/>			
<b>Suffix:</b> <input type="text"/>			
<b>Title:</b> <input type="text"/>			
<b>Organizational Affiliation:</b> <input type="text"/>			
<b>Telephone Number:</b> <input type="text"/>		<b>Fax Number:</b> <input type="text"/>	
<b>Email:</b> <input type="text"/>			

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

\* 10. Name of Federal Agency:

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

\* 12. Funding Opportunity Number:

\* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

\* 15. Descriptive Title of Applicant's Project:

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424 Version 02

16. Congressional Districts Of:  
\* a. Applicant:  \* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:  
\* a. Start Date:  \* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12872 Process?  
 a. This application was made available to the State under the Executive Order 12872 Process for review on .  
 b. Program is subject to E.O. 12872 but has not been selected by the State for review.  
 c. Program is not covered by E.O. 12872.

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)  
 Yes  No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)  
 \*\* I AGREE  
\*\* The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:   
Middle Name:   
\* Last Name:   
Suffix:   
\* Title:   
\* Telephone Number:  Fax Number:   
\* Email:   
\* Signature of Authorized Representative: \_\_\_\_\_ \* Date Signed: \_\_\_\_\_

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

## Standard Form-424A: Budget Information: Non-Construction Programs

This form asks you to break down your projected budget in two ways: by the sources of funds and by the uses of funds. You will itemize your sources of funds in Section A: Budget Summary; and Section C: Nonfederal Sources. You will list projected expenses by a few general categories, such as personnel, travel, and other costs in Section B, Budget Categories. In the case of AFI, the funds to be allocated to participant matches over the life of your project will be the largest figure and appear in the “Other” object class. The form also asks you to project overall expenditures of the Federal portion of your project budget annually over the entire project period in Sections D and E.

Represent on the SF-424A *only* the Federal funds you are requesting and the required nonfederal cash contribution to your project budget that will be deposited into your Project Reserve Account. The AFI guidelines concerning uses of funds apply only to funds in the Project Reserve Account and not to other resources that may support your project. You can include additional resources in the detailed budget and budget narrative requested in the funding announcement.

Remember that the figures here should *reflect the full project period*, up to five years and should correspond to the estimated funding section on the SF-424. In addition, here are the key points to note so that the figures on the SF-424A reflect AFI guidelines.

- **Section A, Budget Summary**

In this section, you are showing the planned Federal and nonfederal funds, similar to the way you showed them in the estimated funding section of the SF-424. Note the following:

- The Grant Program, column (a), is Assets for Independence.
- The Catalog of Federal Domestic Assistance Number, column (b) is: 93:602.
- Use columns (c) and (d), under Estimated Unobligated Funds, Federal and nonfederal, and *not* columns (e) and (f), even though AFI Projects are considered new.
- The figures in the Federal, column (c), and nonfederal, column (d) will be equal.
- The Federal amount should be the same as the Federal amount in the estimated funding section of the SF-424.
- The total figure, column (g), should be the same as the total estimated funding figure on your SF-424.

- **Section B, Budget Categories**

This section of the SF-424A asks for projections according to common budget categories. Because you are describing only the funds in your Project Reserve Account, the figures given for each Object Class under Federal and nonfederal will be equal. In this section you will use only column (1), Federal; and (2), nonfederal (aligned with columns c and d in the previous section). Note especially the following points to conform to AFI guidelines:

- The single largest figure will be in the Other Object Category. This is where you show the Federal and nonfederal funds that will go to match participant savings. This will be at least 85 percent of your Federal and at least 85 percent of your nonfederal funds.
- The amounts entered in the remaining Object Classes (personnel, fringe benefits, travel, equipment, supplies, and contractual) will depend on how you have allocated the remaining 15 percent of your Federal and nonfederal funds, while adhering to the AFI guidelines described in the funding notice and elsewhere in this Project Builder. The amounts in columns (1) and (2) will always be equal. It may be that the amounts entered in these categories do not incorporate the full costs for the category to your project, but you can show additional resources in your detailed budget and budget narrative.
- There should be no entries in the Construction or Indirect Charges Object Categories.
- The totals for columns (1) and (2) should match those in Section A, columns (c) and (d) above; the total for column (6) should match the total for column (g) in Section A.

- **Section C, Nonfederal Resources**

This section of the form asks you to itemize the nonfederal funds that will go into your Project Reserve Account. The total, of course, should be equal to the Federal funds you are requesting and that you have shown on your SF-424 and in Section A of the SF-424A. However, the breakdown of sources of funds is not exactly the same as on the SF-424. Note the following:

- The figure for column (b), Applicant, will be the same as on the SF-424.
- The figure for column (c), State, will be the same as on the SF-424.
- The figure for column (d), Other Sources, will be the total of Local and Other on the SF-424.
- The total of these sources should be the same as the total of nonfederal sources given in Section A and Section B of the SF-424A.

- **Section D, Forecasted Cash Needs**

This section asks you to project the amount of Federal and nonfederal funds that you expect to spend in the first operating year of your whole project period and to break down that total by quarter. Note the following:

- The figures entered in the Federal and nonfederal lines will always be equal.
- Be sure the figures given in the quarterly columns do add up to the total given for the year.

- **Section E, Budget Estimates of Federal Funds Needed for Balance of the Project**

This section asks *only* about projected Federal funds to be used in operating years after year one in your whole project period. Remember, however, that AFI guidelines require that the nonfederal share must be deposited in the Project Reserve Account before draw down of the Federal portion. Therefore, the figures here will reflect the timing for deposit of your nonfederal commitments into your Project Reserve Account.

- **Section F, Other Budget Information**

You do not need to enter any information in this section. Additional details on your overall project budget will be reflected in the detailed budget and budget narrative included in your proposal.

Following is the SF-424A form.



**BUDGET INFORMATION - Non-Construction Programs**

SECTION A - BUDGET SUMMARY							
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)		
1.		\$	\$	\$	\$	0.00	
2.						0.00	
3.						0.00	
4.						0.00	
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.00	
SECTION B - BUDGET CATEGORIES							
6. Object Class Categories		GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
		(1)	(2)	(3)	(4)	(5)	
a. Personnel		\$	\$	\$	\$	0.00	
b. Fringe Benefits						0.00	
c. Travel						0.00	
d. Equipment						0.00	
e. Supplies						0.00	
f. Contractual						0.00	
g. Construction						0.00	
h. Other						0.00	
i. Total Direct Charges (sum of 6a-6h)		0.00	0.00	0.00	0.00	0.00	
j. Indirect Charges						0.00	
k. TOTALS (sum of 6i and 6j)		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.00	
7. Program Income		\$	\$	\$	\$	0.00	

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	0.00
9.					0.00
10.					0.00
11.					0.00
12. TOTAL (sum of lines 8-11)	\$	0.00 \$	0.00 \$	0.00 \$	0.00

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	13. Federal	\$ 0.00	\$	\$	\$
14. Non-Federal	0.00				
15. TOTAL (sum of lines 13 and 14)	\$ 0.00	0.00 \$	0.00 \$	0.00 \$	0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	0.00 \$	0.00 \$	0.00 \$	0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	