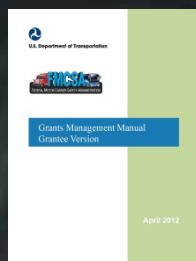




U.S. Department of Transportation



# Grants Management Grantee Manual Training



**Pre-Award:  
Planning &  
Application  
Module 2**

**Chapters 2 & 3**



National Training Center



# Objectives

- By the end of this module, you should understand the:
  - Key components of the pre-award process, to include:
    - Typical pre-award planning activities
    - Types of allowable applicant support FMCSA may provide
    - Contents of a typical Grants.gov announcement and required forms
    - What are the key elements of a Performance Based Application





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# Pre-Application Planning Activities





# Finding Funding Opportunities

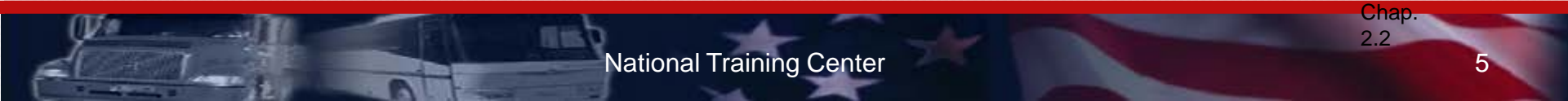
- FMCSA publishes a Federal Register (FR) notice annually regarding all FMCSA grant opportunities
- Grants.gov announcement and synopsis
  - Generally 30-45 days prior application due date
  - Announcement/Instructions
  - On-line Grants.gov application
  - Supplementary forms – non-Standard Forms (SF)





# Grants.gov Access

- All applicants for FMCSA grants need to register for Grants.gov access prior to submission of their application.
- Go to [www.grants.gov](http://www.grants.gov) and see the **For Applicants** link under Quick Links on the left-hand side of the Grants.gov Home Page.
- Click the **Get Registered** button.
- Primary Applicant user guide:  
[http://grants.gov/assets/Applicant-User Guide 110711.pdf](http://grants.gov/assets/Applicant-User%20Guide_110711.pdf)
- Grants.gov Help Desk: 800-518-4708

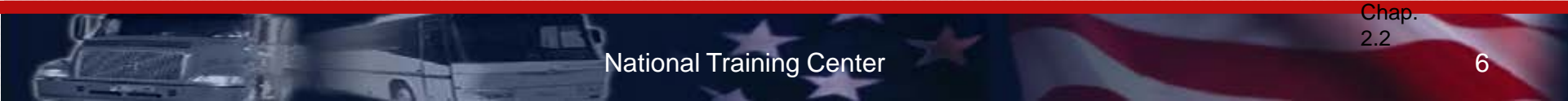






# Grants.gov Access, Continued

- Dun and Bradstreet (DUNs) -  
<http://fedgov.dnb.com/webform/index.jsp>
  - All applicants for FMCSA grants need to have a DUNS number prior to submission of their application
- System for Award Management (SAM) –  
<https://www.sam.gov/portal/public/SAM/> (866-606-8220)
  - All applicants for FMCSA grants need to register at the SAM website prior to submission of their application





# DUNS Registration



- A DUNS Number is a unique organizational identifier provided by Dun & Bradstreet (D&B)
- To determine if you already have a DUNS number or to obtain one, go to, <http://fedgov.dnb.com/webform/displayHomePage.do>
- If more than one number is listed, determine which one should be used for grants

**Accuracy and DUNS verification are critical to a successful application submission**





# SAM Registration

- The System for Award Management (SAM) is a free website which consolidates Federal procurement systems and the Catalog of Federal Domestic Assistance.
- SAM has replaced the Central Contractor Registration (CCR) as the government-wide registry for vendors of the federal government.
- See <http://sam.gov> for more information about the system.

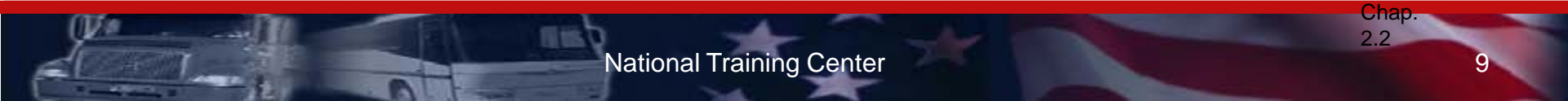






# SAM Registration, Continued

- Most organizations already have a CCR number, and if so, CCR has been migrated to SAM.
- Check at <https://www.ccr.gov> to check your registration.
- If your organization is not registered with CCR, then you can apply on-line at <http://sam.gov>.
- Referred to the SAM User Guide to better understand the migration and process changes from CCR - [https://www.sam.gov/sam/transcript/SAM User Guide v1.8.pdf](https://www.sam.gov/sam/transcript/SAM_User_Guide_v1.8.pdf)





# Pre-Award Planning Process

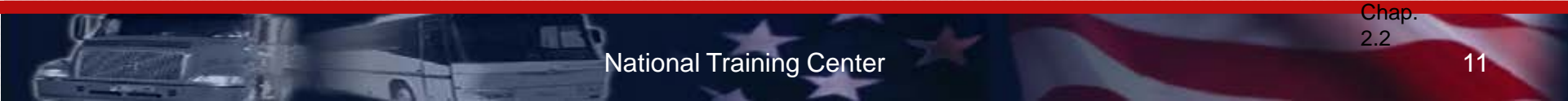
- Determine if your organization is eligible to apply for this grant?
  - Look in grants.gov at "eligible applicants" and "additional information on eligibility"
- Does the FMCSA program description map to your organizational mission?
  - Reference the original authorization statute





# Pre-Award Planning Process, Cont.

- Does the organization have the resources to provide the match and meet the MOE (where applicable)? And sustain for duration of the grant?
- Can our organization meet the performance criteria of the grant?
  - Do we have the staff? The expertise? The systems? The leadership support?
  - Within the specified timeframes?
- Does our organization have the personnel to develop the application?





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# Applicant Support





# Applicant Support

- Support of our safety partners
- Increase technical quality of applications
- Encourage participation by all eligible grantees
- Encourage open, fair and equal access and even competition
- Maintain impartiality at all times





# Applicant Support - **Allowed Activities**

## **FMCSA and Grantee Can:**

- Review Applicants' Prior Year Application (if applicable)
- Funding Opportunity Conferences
- Publication of Question and Answers
- Regular Communications
  - Information in the FR Notice,
  - Contents of the grants.gov announcement
  - Application process/forms
  - Regulatory or statutory program questions



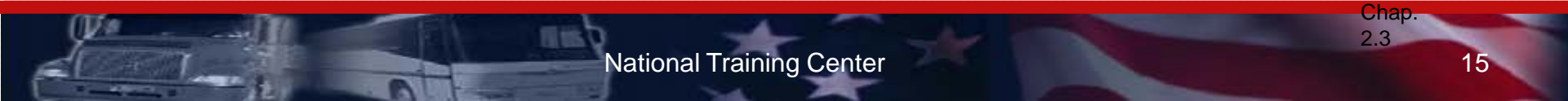




# Applicant Support- **Not Allowed**

- **FMCSA Can Not:**

- Review current year applications prior to submission
- Discuss other applicants current year applications
- Write any portion of, or edit current year applications
- Identify the specific persons on the TRP
- Discuss the specifics of the discretionary grant Technical Review Panel(s) (TRP)/grant review





# Scenario #1

## Scenario #1

The Federal Register notice was published, and grants.gov is open for States to submit FY12 MCSAP High Priority grant applications. A State sends FMCSA their draft grant application, and asks them to review it to make sure it is consistent with FMCSA policies and procedures, meets the priorities of the Agency, and does not conflict with any of other FMCSA funded grants.

## How would FMCSA reply?

- A. Review the grant and give the requested feedback.
- B. Delete the grant and run you through the statutory elements of MCSAP High Priority, and the priorities listed in the FR notice.
- C. Review the grant and respond as to whether it is or is not technically sound only.



# Scenario #1 Discussion

- Answer is B
- FMCSA must not accept a draft grant application.
- FMCSA can run an applicant through the statutory elements of MCSAP High Priority, review the priorities listed in the Federal Register and the process for submission and the elements of the application.

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# How to Apply?





# Grants.gov Announcement & Synopsis

- Overview Information

- Program or application changes since prior year
- Funding Opportunity Description
- Award Information
- Eligibility Information – eligible applicants, match, etc.

- Application and Submission Information

- Forms – SF-424, 424a, 424b, SF-LLL, special forms
- Submission deadlines and estimated program funding

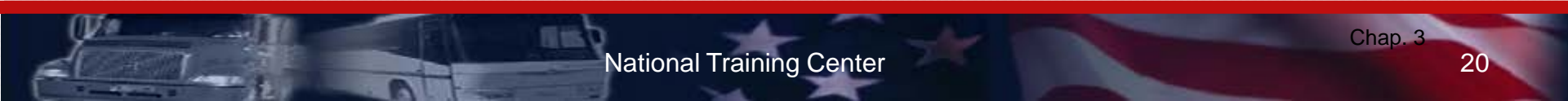






# Grants.gov Announcement & Synopsis, Continued

- Application Review Information
  - Evaluation Criteria
  - Review and Selection Process
- Award Administration Information
  - General Terms and Conditions and Reporting Requirements
- Agency Contact(s)
- Other Information (Optional)







# Announcement Review/Pre-Application Tips

- Review the components of the grant announcement and instructions
  - Determine project design, budget, staffing, project development
  - Internal development and review team
  - Create a work plan and timelines
  - Verify the necessary system access and signature authorities and transmission capabilities





# General Application Elements

- **Project Abstract/Summary** – succinct description of the proposed project, statement of objectives and methods to be employed. Like an Executive Summary
- **Project Narrative** – description of the problem to be addressed, the methodology and measure of effectiveness
- **Budget** – SF-424a and supporting detailed budgets
- **Budget Narrative** – a narrative explanation of each of the budget categories within the budget





# Project Narrative Elements

- **Purpose** - Measurable, time-limited, outcome oriented, realistic, related to the problem/need , the self-assessment
- **Needs (or Self) Assessment, Statement of Need, or Problem Statement**
  - Need can be determined by existing and valid data; or,
  - A self assessment of your entities programs (such as CDL)
- **Methodology, Project Design, or Implementation Strategies** - Discuss who/what/how/ where/when
- **Work or Program Activity Plan, Timeline** – Major activities, responsible parties, start date, end date and estimated personnel hours.





# Project Narrative Elements, Continued

- **Performance Measures or Objectives/Improvements** – quantitative and qualitative performance measures to assess progress in achieving the purpose or objective of grant.
- **Monitoring and Evaluation Plan** - Who/what/how. Use of recommendations and how success will be measured.
- **Organizational Information** – information regarding the organizational goals and mission and prior work of a similar nature





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# Performance Based Applications



# Performance-Based Plans



- State the problem and establish a baseline
- Express desired performance improvements in terms of quantifiable objectives
- Formulate goals as interim steps
- Describe strategies for achieving each of those goals
- Include specific activities for each strategy
- Define a framework for periodic monitoring of activities and performance trends
  - Evaluate the impact of each strategy or activity on performance, adjusting as appropriate







# Problem Statement

- Identify commercial motor vehicle safety problems (existing, new/perceived)
  - Is the problem verifiable? (apply data analysis and real world experience)
- Describe the problem
  - Quantify the extent of the problem, citing data source and date to establish a baseline





# Sample Problem Statement

- For the most recent 5 year period 2004-2008, the average number of large truck crash involvements in State X was 3,558 per year. Further analysis reveals that -28% (1,196 average per year) of these involvements occurred in four of the state's 60+ counties
- During the same period, "speeding", was the traffic violation cited in -40% (10,523) of all Traffic Enforcement violations involving commercial motor vehicles.





# Performance Objective/Improvement

The expected outcome/result based on the strategies and activities deployed to address the problem (i.e., reduction in the number of percentage of crashes), including the date or time when the outcome is expected (multi-year if necessary)

## **Sample Performance Objective**

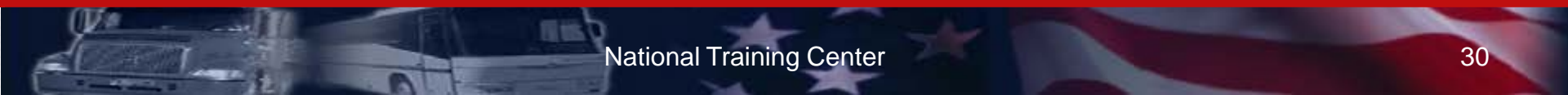
To reduce the number of large truck-involved crashes in the four counties by 6% (72 crashes) over the next 3 years (by 2013), reducing the average from 1196 to 1124.





# Sample Performance Goals

- To reduce the number of large truck-involved crashes in County X by 8% (78 crashes) by 2013, reducing the number of crashes from 1196 to 1118.
- To reduce the number of large truck-involved crashes in County Y by 5.7% (83 crashes) by 2013, reducing the number of crashes from 1100 to 1037.





# Program Strategies

- Identify the method to be utilized to address the problem and achieve the desired goal
- Each strategy should be feasible and justifiable
  - Within the power of those responsible
  - In proportion to the size of the problem
  - How was the strategy chosen and was it a reasonable methodology?





# Sample Program Strategy

- FMCSA's Large Truck Crash Causation Study reported that speeding was the critical reason in 21% of the estimated truck crash involvement nationwide
  - Increase enforcement (focus on speeding) in the four counties to reduce the number of large truck crash involvements
  - Monitor and adjust location and timing of enforcement activity on a quarterly basis in conjunction with a review of crash data







# Program Activity Plan

- Specific actions and activities necessary to implement the related strategy
- Include level of effort, specific location, responsible staff and milestones
- Who, what, when, where, how.....





# Sample Program Activity Plan

- Analyze crash data in the target counties to further identify crash characteristics (location, time of day, etc.) to focus enforcement efforts
- Increase traffic enforcement activity (focus on speeding drivers) by 10% from the 2011 level of X in the target county areas each year
- Conduct patrols in highly visible locations and at times and places identified by data analysis





# Monitor Results and Evaluate

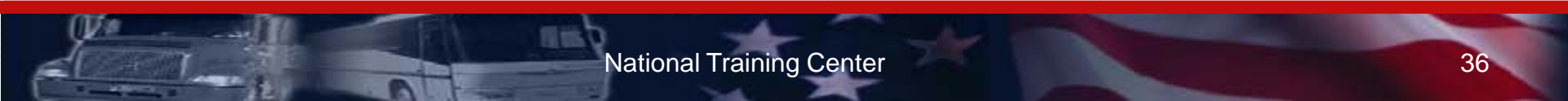
- Describe how you will measure the effectiveness of each activity and strategy, using incremental benchmarks for a multi-year strategy
- Were targets/milestones met?
- Evaluate performance
  - Review baseline data and compare to new results
  - Assess effectiveness of strategy and activities
  - Make adjustments as appropriate
  - Document for quarterly report or annual update





# Sample Monitoring and Evaluation Plan

- Review inspection/traffic enforcement results
- Review crash data results (A&I online MCMIS)
- Compare the quarterly CMV crash numbers to the baseline data to determine if the activities are effective (allow for crash reporting lag)
- Adjust activities and/or targeting as needed for subsequent periods to meet performance objective
- Prepare/update quarterly progress tracking





# Other Plan Evaluation Factors

- National goals/priorities
- State-specific goals, priorities, information or studies
- Available resources, such as CMV safety data
- Other objective criteria FMCSA deems appropriate within the evaluation plan
- Program integration





# Key Concepts

- Define the problem
- Develop a quantifiable performance objective and goals to support it
- Describe specific and detailed strategies and activities
- Monitor activities quarterly
- Evaluate effectiveness of activities annually







# General Application Tips

- Demonstrate the problem using local or national data
- Map the application to the program specific goals and objectives
- Make the connection between the project design and the proposed outcomes
  - Explain why the project design is the best design suited to achieve the best outcomes





# General Application Tips, Continued

- Describe how you met the past performance goals, if applicable
- Cross-check against all application requirements
- Adjust application based on feedback from prior year
- Keep simple, concise and well written





U.S. Department of Transportation



# Review of Required Forms





# SF-424 Tips

- Line 8a: Legal Name = DUNS Number Name
- DUNS and EIN/TIN Numbers correct
- Line 8f: Contact Info accurate
- Line 11: CDFA matches Grants.gov
- Line 20: Federal debt statement accurate
- Line 21: Certified by authorized individual

OMB Number: 4040-0004  
Expiration Date: 03/31/2012

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

[http://www.grants.gov/agencies/aforms\\_repository\\_information.jsp](http://www.grants.gov/agencies/aforms_repository_information.jsp)





# SF-424b Overview

- Standard set of federal assurances to which the applicant certifies compliance
- Includes:
  - Legal authority to apply for grants
  - Compliance with federal regulations and statutes – Hatch Act, Civil Rights Act, Equal Opportunity, etc.
  - Compliance with the requirements governing the program

### ASSURANCES - NON-CONSTRUCTION PROGRAMS

OMB Approval No. 4-00  
P r o 0 0

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

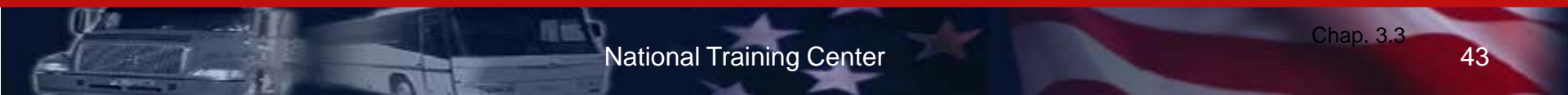
1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1687, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicap; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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Prescribed by OMB Circular A-102

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# SF-LLL Overview

- Standard form for disclosure of the Lobbying Activities
- Most responses will be "no" on this form
- Replaces the GG-lobbying form

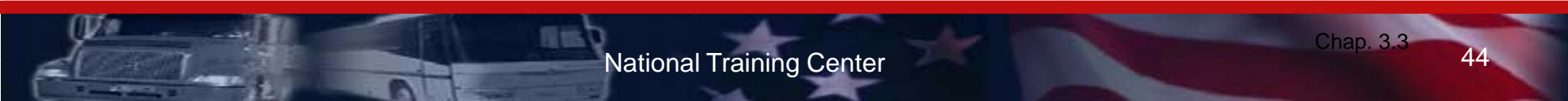
**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

Approved by OMB  
0348-0046

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: _____  Congressional District, if known: <sup>4c</sup> _____		<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> (if individual, last name, first name, MI):		<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

[http://www.grants.gov/agencies/aforms\\_repository\\_information.jsp](http://www.grants.gov/agencies/aforms_repository_information.jsp)







# Administrative Capability Form Overview

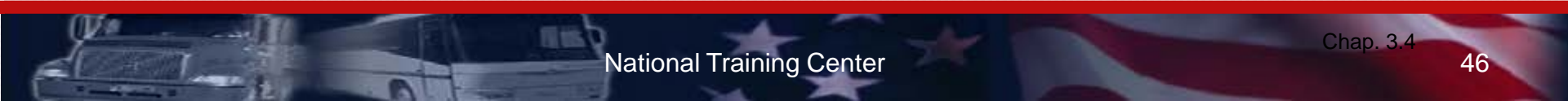
- Grantees are subject to administrative and financial standards in the CFR and OMB Circulars
- Administrative Capability Form is for applicants to certify they have the appropriate capabilities to meet these standards
- Certification is a binding statement that the questions have been answered accurately
- Application may not be processed in a timely fashion without the submission of this form





# Key Contacts Form Overview

- Required with all FMCSA grant applications
- Used to populate contact lines in the Notice of Grant Award and assign grantee roles in GrantSolutions
- Form includes:
  - Applicant Organization name
  - Authorizing Official name
  - Grant Manager name
- Timely submission is important for application processing





# Proposal Submission Best Practices

- Use an internal review team for your final application review prior to submission
  - Is the solution related to the program goals?
  - Is the solution feasible?
  - Have all the criteria been met?
  - Is the budget accurate and the costs allowable, allocable, necessary and reasonable?





# Proposal Submission Best Practices, Continued

- Use an internal review team for your final application review prior to submission
  - Do you have the funds to match the grant? (if applicable)
  - If systems are required, has IT looked at it to make sure their systems can handle the project?
  - All application components are complete and included?
  - Leadership is committed to the project?





# Wrap Up and Knowledge Check





# Summary

- Now that you have completed this module, you should understand the:
  - Key components of the pre-award process, to include:
    - Typical pre-award planning activities
    - Types of allowable applicant support FMCSA may provide
    - Contents of a typical grants.gov announcement and required forms
    - What are the key elements of a Performance Based Application?







# Check Your Knowledge

- Module 2 Knowledge Check
- Module 2 Knowledge Check Answers

