

PART II - BUDGET INFORMATION

(Round to nearest dollar)

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.						
2.						
3.						
4.						
5. TOTALS						

SECTION B - BUDGET CATEGORIES

Object Class Categories	Grant Program, Function or Activity			Total (5)
	(1)	(2)	(3)	
a. Personnel				
b. Fringe Benefits				
c. Travel				
d. Equipment				
e. Supplies				
f. Contractual				
g. Construction				
h. Other				
i. Total Direct Costs				
j. Indirect Costs				
k. TOTALS				
7. Program Income				

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(a) TOTALS
8.				
9.				
10.				
11.				
12. TOTALS (sum of lines 8 - 11)				

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	13. Federal				
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) Second	(c) Third	(d) Fourth	(e) Fifth	
16.					
17.					
18.					
19.					
20. TOTALS (sum of lines 16 - 19)					

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

**INSTRUCTIONS FOR COMPLETION OF
FEDERAL ASSISTANCE APPLICATION FORM SSA-96
FOR
SOCIAL SECURITY ADMINISTRATION
RESEARCH AND DEMONSTRATION GRANT PROGRAMS**

Form SSA-96 is used by applicant organizations requesting Federal assistance support under all research and demonstration grant programs administered by the Social Security Administration (SSA). It is to be used to request or to apply for new grants, supplemental funding for an existing grant, continuation of an existing grant, and changes to an existing grant. The application form is comprised of four parts: PART I—FACE SHEET, PART II—BUDGET INFORMATION, PART III—PROGRAM NARRATIVE, and PART IV—ASSURANCES.

Please read and follow the instructions carefully to avoid delays and misunderstandings. An application may be considered incomplete and returned if it fails to follow the instructions or if the material presented is insufficient to permit an adequate review.

- Type the application using standard 12 size type.
- Type on one side only.
- Reproduced copies should be single sided.
- Do not bind or staple the applications. Secure them with rubber bands or paper clips.
- If continuation pages are required, please use standard size (8 1/2 " X 11") white bond paper.
- All items on the forms must be completed. Enter "NONE" or "NA" (not applicable) whenever appropriate.

All applicants *must* submit an original and 2 copies of the completed application.

PART I—FACE SHEET

The FACE SHEET is a multipurpose standard form and the standard instructions on the back of the form should be followed for completing the form. The following supplementary information is provided for completing these sections for SSA research and demonstration grant applicants.

Item 6

Enter the IRS employer identification number.

Item 11

Select a title that is both short and descriptive.

Item 18d

To be valid and acceptable for review, an application must be properly executed by an individual authorized to act for the applicant organization and to assume the obligations imposed by the requirements and conditions for any grant

award including the applicable Federal regulations. If the authorized official is not available, an individual authorized to act on his/her behalf may sign as "acting for" the designated official.

PART II—BUDGET INFORMATION

SECTIONS A, B, C, and D should include budget estimates for the first budget period (usually a year) and SECTION E should present the need for Federal assistance in the subsequent budget period(s).

SECTION A—BUDGET SUMMARY

Grant applicants requesting assistance to conduct activities under grant programs administered by SSA are expected to contribute towards the total cost of the activity. These costs must be reflected in the grant application. The budget for the activity must include funds requested from SSA and the applicant's share of allowable costs.

Line 1, Columns a and b

In column a, enter "SSA" and in column b, enter the Catalog of Federal Domestic Assistance number.

Line 1, Columns c through g

For new applications, leave columns c and d blank. Enter in column e the amount of Federal funds needed to support the project for the first funding period (usually a year). Enter in column f the amount of the cost of the project to be borne by the applicant. Enter in column g the total of columns e and f.

For continuing grant program applications, enter in columns c and d the estimated amount of funds that will remain unobligated at the end of the current grant period. Enter in columns e and f the amount of funds needed for the upcoming period. The amount in column g should equal the total of columns e and f.

For applications which request additional funds for a currently approved budget period and for other changes to existing grants, do not use columns c and d. Enter in columns e or f, as appropriate, the amount of the increase or decrease of funds. In column g, enter the new total budgeted amount which includes the total of the previous authorized budgeted amount plus or minus, as appropriate, any amounts shown in column e or f. The amount in column g should not equal the total of the amount(s) in columns e and/or f.

Lines 2 through 5, columns a through g of this section are not to be completed.

SECTION B—BUDGET CATEGORIES

Use column 1 only.

Leave columns 2, 3, 4, and 5 blank.

Lines 6a--h

Show the estimated Federal costs for each object class category in column 1.

Line 6a--Personnel

Show salaries and wages only. Fees and expenses for consultants should be included on line h--Other. In computing estimated salary changes, an individual's base salary represents the total authorized annual compensation that an applicant organization would be prepared to pay for a specified work period. The base salary excludes income that an individual may be permitted to earn outside of full-time duties to the applicant organization.

Line 6b--Fringe Benefits

Fringe benefits may be requested as a direct cost to the extent that they are treated consistently by the applicant organization as a direct cost to all sponsors. As an alternative, fringe benefits may be included in the calculation of the applicant organization's indirect costs. If a fringe benefit rate has been negotiated with the Social Security Administration or another Federal agency, indicate the agency and the applicable rate under SECTION F. Otherwise, indicate the method used in computing the amount of fringe benefits claimed.

Line 6c--Travel

Include the cost of travel for employees only. Travel for consultants should be included on line 6h--Other. Under SECTION F describe the purpose of any travel, number of trips involved, destinations, individuals who will be traveling and the projected cost per trip, i.e., local transportation, air travel, per diem, etc. Include the computations used in determining the cost.

Line 6d--Equipment

Include only nonexpendable personal property which has a useful life of more than 1 year and an acquisition cost of \$5000 or more per unit. Under SECTION F, list and explain the need for each item of equipment.

Line 6e--Supplies

Include all tangible personal property except that listed on line 6d. If the total exceeds \$500, list and explain the need for the items under SECTION F.

Line 6f--Contractual

Include all procurement contracts (except those which belong on other lines such as equipment, supplies, consultant, etc.). List each contract, the amount and purpose under SECTION F.

Line 6g--Construction

SSA programs do not have construction authority but may support limited alteration and renovation costs. Amounts included under this category must be fully explained under SECTION F.

Line 6h--Other

Use for all direct costs not clearly covered by lines a through g. Examples are computer use charges, consultant costs, and equipment rentals. Amounts entered under this category must be itemized and fully explained under SECTION F including the method used in computing the cost.

Line 6i--Total Direct Costs

Enter the total of lines 6a through 6h.

Line 6j--Indirect Costs

Applicants which are State and local governments, enter the amount of indirect costs. List and explain these costs under SECTION F. Indicate if the costs are claimed in accordance with an approved State cost allocation plan. Applicants other than State and local governments, enter the amount of indirect costs. If the costs are claimed in accordance with an approved indirect cost rate negotiated with the Social Security Administration or another Federal agency, include the name of the agency and the rate under SECTION F. If a rate has not been negotiated, list and explain the costs, including the method of computation.

Line 6k--Totals

Enter the total of lines 6i and 6j.

Line 7--Program Income

Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Explain the nature and source of income under SECTION F.

SECTION C—NON-FEDERAL RESOURCES

On line 8, column a, enter SSA. In column b, enter the amount of funds or the value of in-kind contributions to be provided by the applicant. In column c, enter the amount of State funds. In column d, enter the amount of funds or the value of in-kind contributions from other sources. Enter the totals in column e. Line 12 need not be completed.

SECTION D—FORECASTED CASH NEEDS

Line 13 Enter the amount of Federal cash needed by quarter during the first year.

Line 14 Enter the amount of cash from all other non-Federal sources needed by quarter during the first year.

Line 15 Enter the totals of amounts on lines 13 and 14.

SECTION E BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

This section need not be completed for (1) noncompeting continuation applications or (2) amendments, changes or supplements (augmentation) to funds for the current year of existing grants.

For new grant applications, on line 16, enter SSA. In columns b through e enter the amounts of Federal funds which will be needed to complete the project over the succeeding funding periods (in years).

SECTION F OTHER BUDGET INFORMATION

Line 21 Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the instructions.

The information provided should include sufficient detail to facilitate a determination as to allowability, relevance to the project, and cost/benefit.

Line 22 Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Enter any explanations or comments deemed necessary.

SECTION G PERSONNEL

An example for completion of this section is included on the back of the form.

1. Personnel

List all personnel chargeable as a direct cost to the project by title, salary and percentage of effort. Include names for key positions only.

Enter in column 1 the annual (12 months) salary rate for each position which will be filled for all or any part of the year by an incumbent working on the project. This rate may not be more than that paid by the grantee to other employees in comparable positions or, if the grantee has no comparable positions, the rate may not be more than that paid for such services elsewhere in the community.

Enter in column 2 the number of months the position will be filled by an incumbent working on the project.

Enter in column 3 the percent of time or effort the incumbent will devote to the project during the number of months shown in column 2.

Enter in column 4 the total amount required as computed from the information shown in columns 1 through 3. Use the following formula:

$$\text{Annual Salary (Col. 1)} \times \frac{\text{No. of Months (Col. 2)}}{12} \times$$

$$\text{Percent of Effort (Col. 3)} = \text{Total Amount Required (Col. 4)}$$

2. Fringe Benefits

Enter in the parenthesis the applicable fringe benefit rate(s). In column 4, enter the amount determined by applying the rate to the total of the salaries in column 4 to which the rate(s) applies.

3. Option for Salary Detail Submission

Applicants may request that the salary rates and amounts requested for individuals not be made available to SSA reviewing consultants. To do so, an additional copy of this page must be submitted, complete in all respects, except that columns 1 and 4 may be left blank.

4. Function/Task Description

Attach a description of the function or task to be performed for all personnel listed.

PART III PROGRAM NARRATIVE

The review of grant applications is aided materially when project descriptions are presented in a reasonably uniform pattern. For this reason, the following guidelines should be used in completing the program narrative.

Continuation pages should be typed, single spaced on one side only of standard size white bond paper. Each page should be numbered consecutively at the bottom beginning with page III 1.

NEW AND COMPETING CONTINUATION GRANTS

The program narrative should describe the major issues of concern, the research and demonstration methodology to be used in addressing these issues, and the potential for implementation of the results. Review of the narrative will concentrate on the above and on the manageability of the design as reflected in the work plan. Should the proposed project be funded, the information provided in the narrative will form the basis for monitoring the project and evaluating progress for future funding decisions as well as aiding SSA in planning for required technical assistance and for the implementation and dissemination of project findings.

The narrative should be organized under the following major headings:

- I. Project Title and Objectives
- II. Background and Importance of Project
- III. Research and Demonstration Methodology
- IV. Evaluation Plan
- V. Work Plan
- VI. Project Staff and Facilities
- VII. Implementation Potential
- VIII. Dissemination of Results

The program narrative should be completed as follows:

I. Project Title and Objectives

- A. Select a title that is both **short** and descriptive.
- B. Specify the objectives of the project.

II. Background and Importance of Project

- A. Discuss the major areas the project will address and the national significance of these problem areas. Include factual comments on the number of individuals (recipients) affected and the magnitude of the human, physical and fiscal resources involved.
- B. Discuss the state of the art in resolving these problems. Include approaches that have been or are being taken in resolving the problems and the outcomes of these approaches. Also include (1) the organizational structures which currently deal with the problems, (2) the services provided, and (3) the administrative methods currently used.
- C. Discuss the approaches proposed for resolving the problems included with this project and the rationale supporting the proposed resolution.
- D. If the performance of any of the project activities is to be transferred to a third party (e.g., evaluation of the project - see IV. E.) include the following information: (1) a description of the activities in question; (2) a justification for the performance by a third party; (3) estimated costs and time schedule; and (4) a description of the kinds of organizations or other parties to be selected and the method of selection.
- E. Summarize important results obtained by others which bear on this project, citing publications where applicable. It should be apparent from the summary that existing literature has been critically reviewed and that related programs being carried on elsewhere are known to the applicant.
- F. Cite the most important publications of the Project Director on this or closely related work. If none, list the most important publications in other related fields over the last 5 years.

III. Research and Demonstration Methodology

- A. List the hypotheses to be tested and explain how they relate to the project objectives.
- B. If experimental and control groups are appropriate, discuss the experimental design of the project.
 1. Discuss how the control or comparison groups will be formed. Specify how subjects will be selected (and who will do the selecting) for both control and test populations.
 2. Indicate the intended number of subjects to be served (enrolled, surveyed, etc.).
 3. Specify how the size of these groups will be or was determined based on the hypotheses to be tested.
 4. Describe the process of identifying and acquiring "eligible" subjects.
 5. Describe any incentives to encourage subjects to participate.
 6. Describe how dropouts will be handled.
 7. Comment on the methodological problems that may arise and how they will be treated.
- C. Explain by what procedures the hypotheses will be rejected or accepted.

IV. Evaluation Plan

The evaluation plan refers only to the plan for evaluating the ultimate success or failure of the project and not the plan for evaluating the progress of the project staff in accomplishing the project objectives. The latter evaluation will be an ongoing effort of SSA research and demonstration staff.

- A. Discuss the criteria by which the project will be judged a success or failure.
- B. List the data to be collected and the normal variability associated with the data.
- C. Indicate by what procedures the data are to be collected (survey, computer tapes, interviews, etc.) and how often.
- D. Discuss how the data are to be analyzed to establish the success or failure of the project.
- E. Indicate who is to conduct the evaluation. If an independent contractor, include the scope of work for the Request for Proposal (RFP).

V. Work Plan

- A. List and describe each task (at least one paragraph per task) that must be completed to carry out the project. (Most projects should have between 10 and 20 tasks.)

- B. Specify the product(s) for each task that can be provided to SSA on request as proof that the task has been completed.
- C. Prepare a Gantt chart showing the start and end dates for each task. Include milestones such as:
 - onsite acquisition of staff;
 - physical acquisition of facilities and equipment;
 - pretest of measurement devices;
 - establishment of linkages with ongoing programs;
 - acquisition of subjects for testing;
 - signing of agreements and contracts;
 - arrangements with public and private agencies to provide services, data or other support;
 - steps to involve potential users; and
 - completion and dissemination of final report.
- D. Show the level of effort in man□months (by project personnel, if possible) required to complete each task.
- E. Indicate the formats for the interim and final Progress reports to be submitted to SSA.

VI. Project Staff and Facilities

- A. Include a project staff organization chart and, if applicable, show the linkages with State/county organization charts. Note that the Project Director should be full□time, if possible.
- B. Staff Qualifications□ Include a biographical sketch of the proposed Project Director and other key project staff, highlighting special qualifications that relate to the accomplish□ment of project objectives, such as education and experience. For each of the key staff not identified at the time of application, provide (in lieu of a biographical sketch) a job description, qualifications sought and a projection of how long after notification of grant award the recruitment of these staff will take.
- C. Discuss other qualifications of staff or of organizations affiliated with the project that enhance its potential success.
- D. Include copies of endorsements or letters of agreement from State administrators, private service providers and other potential users.
- E. Describe the facilities where the activity will be conducted and the location.

VII. Implementation Potential

- A. Estimate the costs and the benefits that might accrue from replication or installation on a statewide basis, specifying the assumptions and logic used in making the estimate.

- B. Specify any special features of the target group(s) and the operational environment in which the project will operate that would vary in other locations, thus influencing utilization potential, e.g., rural population, minority composition, political climate, governmental centralization or decentralization, etc.
- C. Specify how final products will be oriented toward facilitating implementation in other locations.
- D. Discuss commitments made by Federal, State or local governments and other organizations to continue the project or implement its findings after completion.

VIII. Dissemination of Results

- A. Specify the means to disseminate the results and promote utilization of these results by others in the field.
- B. Describe the training methods and content to be packaged for dissemination and use for others. Note any restrictions or limitations (patent, copyright, proprietary interest, etc.) on its use by SSA.

NONCOMPETING CONTINUATION GRANTS

In the narrative for noncompeting continuation applications, include changes or additions to the original proposal that are required to make it an up□to□date representation of the project. Include changes or modifications in the project objectives, work plan, and evaluation design and the reasons for the changes.

1. Discuss progress towards meeting the project's objectives covering the following points:
 - (a) Accomplishments, findings, and products to date. List in chronological order the sequence of significant events and accomplishments. Explain any time lags in completing tasks and adhering to the work plan and time schedule originally approved.
 - (b) Problems encountered, particularly with respect to methodology, sampling and control group identification.
2. Discuss changes in project personnel and provide biographical information for new key personnel.

PART IV□ASSURANCES

This form must be executed by an authorized official of the applicant organization or agency and submitted with the grant application.

SECTION G - PERSONNEL

(Instructions for Completion)

EXAMPLES	(1)	(2)	(3)	(4)
NAME	Annual Salary Rate	No. Mos. Budg.	% Time	Total Amount Required
John Doe, Project Director 1/	24,000	<u>12</u> 12	100	24,000
Jane Smith, Asst. Dir 1/	18,500	<u>10</u> 12	100	15,417
Senior Counselor 2/	19,750	<u>12</u> 12	60	11,850
Secretary 2/	11,500	<u>9</u> 12	75	6,469
	Total Salaries and Wages			57,736
Fringe Benefits (Rate: 1/ - 21%, 2/ - 15%)	Total Fringe Benefits			11,026
CATEGORY TOTAL:	68,762			CATEGORY TOTAL: 68,762