

**Request for Proposals**  
National Mortgage Settlement Funds

**FORM A. PROJECT ABSTRACT**

1. Project Name: \_\_\_\_\_

2. Program Name: \_\_\_\_\_

3. Program Contact: \_\_\_\_\_

Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Website URL: \_\_\_\_\_

4. Project Budget: \$ \_\_\_\_\_

5. Grant Amt. Requested: \$ \_\_\_\_\_

6. Key Partners: \_\_\_\_\_

7. Project Abstract: Applicants shall provide a project abstract in the space below. The abstract standing alone should succinctly summarize the proposed project, including the amount requested and the project's need, activities, milestones, and projected outcomes. The abstract must **be no longer than 500 words.**

**FORM B. PROJECT NARRATIVE**

Applicants shall give a project narrative attached to this form. The narrative must be self-contained, must not refer the reader to any other documents and must be **no longer than 10 pages**, excluding attachments. For Consumer Assistance Grant applicants, the project narrative must address the Minimum Requirements and Additional Program Elements described on page 2. For all applicants, the project narrative must address all of the items included below,<sup>1</sup> unless it is specified that any particular item does not apply to the applicant.

Goals, Objectives, and Strategies

- Consumer Assistance Grant applicants shall:
  - (1) Explain the activities through which the project will achieve the Required Elements and any applicable Additional Program Elements described on page 2.
  - (2) Identify any deficiencies in existing programs and explain any remediation strategies for how your proposal will directly or indirectly remedy those deficiencies; and
  - (3) Describe how the organization will evaluate the success of the project you are proposing, and how the project will keep data that can be used to evaluate the project and, potentially, to help identify areas of need, potential enforcement issues and key areas for future services. Include a description and timeline for activities as well as quarterly milestones by which you will measure achievement. Identify any case management system, and include a plan for maintaining case and statistical information that will be required for reporting purposes.
  
- HBOR Implementation Grant applicants shall:
  - (1) Identify which HBOR provisions and which aspects of HBOR implementation will yield the most pressing issues;
  - (2) Explain your strategies for addressing the issues raised in (1);
  - (3) Describe your plans for implementing the three functions in the grant description;
  - (4) Propose methods that will foster collaboration with direct legal services organizations and other consumer advocates in order to steer case law development in the direction most favorable to consumers; and
  - (5) Describe how the organization will evaluate the success of the project you are proposing, including how the project will keep data that can be used to evaluate the project and, potentially, to help identify areas of need, potential enforcement issues and key areas for future services. The evaluation should be directly linked to identified activities and proposed outcomes. Identify any case management system, and include a plan for maintaining case and statistical information that will be required for reporting purposes.

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<sup>1</sup> The Office of the California Attorney General and the State Bar may request supplemental application information, even if that information does not relate to the selection criteria specified in this request for proposals.

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#### Partnership Strategies and Long Range Impact (Consumer Assistance Grant Applicants only)

- Applicants shall describe any organizations with which they currently collaborate. Applicants shall also detail their plans for growing any existing partnerships or cultivating new partnerships in order to launch a powerful statewide or local apparatus for consumer outreach, education, and advocacy.
- Organizations shall include evidence in their applications, such as a memorandum of understanding or a letter of intent, that documents existing or anticipated partnerships that will be funded in whole or part through this grant. Any such documentary support must describe, in detail, the manner in which the partnership will grow during the time period for which grant funds are awarded, the activities that will be funded during the grant period, the key staff who will be involved in the activities, and any expertise additional organizations may contribute to the partnership during the relevant timeframe.
- Organizations shall describe how sub-recipients and other partners will be supervised to ensure the quality and adequacy of counseling or legal representation. Describe the protocols established to ensure oversight of the quality of services to be provided by sub-recipients and pro bono attorneys or other volunteers.

**FORM C. ORGANIZATIONAL BACKGROUND & EXPERIENCE**

Eligibility

- Applicant is a 501(c)(3) tax-exempt organization in good standing with the Internal Revenue Service and in compliance with all applicable laws and requirements, including registration, as appropriate, with the Registry of Charitable Trusts maintained by the California Department of Justice.
- Applicant is an individual affiliated with a non-profit organization or professional organization dedicated to addressing consumer law and mortgage-related issues.

*Consumer Assistance Grant Applicants must satisfy only the first criterion above in order to be eligible. HBOR Implementation Grant Applicants must satisfy one of the two criteria above in order to be eligible.*

- Applicant is HUD-certified and currently offers services to financially distressed homeowners. *Required for applicants that propose to provide housing counseling.*
- Applicant has expertise in assisting clients with mortgage-related issues and currently provides direct legal services to borrowers who need assistance with such issues. *Required for applicants that propose to provide direct legal services.*

Attachments

- Attach the resumé of the individual who will oversee the proposed project.
- Attach an audited financial statement for the most recent complete fiscal year.
- Attach proof of eligibility for the small business preference (if applicable).

Description of Organization

In the space provided on the following page, **in no more than 1 page**, applicants shall:

- Give an overview of the organization and its track record in areas relevant or applicable to the grant proposal, including any significant honors or accomplishments.
- Describe any advantages specific to the organization(s).
- Provide a summary of the staff who will be involved in the project, including their credentials, expertise, and past accomplishments.
- List relevant recent publications or studies, and professional or academic affiliations (HBOR Implementation Grant applicants only)

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**FORM D. FINANCIAL INFORMATION**

**I. BUDGET FORM<sup>1</sup>**

Applicants shall include detailed itemizations of anticipated expenses on the forms below and shall include explanation in narrative form for each expense.

| <b>Budget Category</b>                              | <b>Project Budget</b>   | <b>Grant Request</b> | <b>Sub-Recipient Budget*</b> |
|---|---|----------------------|------------------------------|
| <b>Revenue</b>                                      |   |                      |                              |
| Government  | _____   | _____                | _____                        |
| Foundations/Corporations                            | _____   |                      |                              |
| Earned Revenue/Contracts                            | _____   |                      |                              |
| Donor Contributions                                 | _____   |                      |                              |
| Other   | _____   |                      |                              |
| <b>Total Revenue</b>                                |   |                      |                              |
| <b>Expenses</b>                                     |   |                      |                              |
| <b>Personnel</b>                                    |   |                      |                              |
|   | <i>For additional staff positions, itemize on separate sheet.</i> |                      |                              |
| Salary for Staff 1                                  | _____   | _____                | _____                        |
| Salary for Staff 2                                  | _____   | _____                | _____                        |
| Salary for Staff 3                                  | _____   | _____                | _____                        |
| Salaries Subtotal                                   | _____   | _____                | _____                        |
| Benefits ( <i>e.g., medical, dental, vacation</i> ) | _____   | _____                | _____                        |
| <b>Subtotal Salary and Benefits</b>                 |   |                      |                              |

<sup>1</sup> Up to 25% of an awarded grant may be used for an allocated share of administrative overhead costs, but only if included and justified in the proposed budget submitted with the original application.

**Non-personnel**

|  |       |       |       |
|--|-------|-------|-------|
| Space                                      | _____ | _____ | _____ |
| Meetings/Conferences                       | _____ | _____ | _____ |
| Telecommunications                         | _____ | _____ | _____ |
| Supplies                                   | _____ | _____ | _____ |
| Equipment Rental/Maintenance               | _____ | _____ | _____ |
| Travel                                     | _____ | _____ | _____ |
| Training                                   | _____ | _____ | _____ |
| Insurance                                  | _____ | _____ | _____ |
| Audit                                      | _____ | _____ | _____ |
| Printing and Publications                  | _____ | _____ | _____ |
| Professional Services/Consulting           | _____ | _____ | _____ |
| Evaluation                                 | _____ | _____ | _____ |
| Other ( <i>itemize on separate sheet</i> ) | _____ | _____ | _____ |

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**Total Expenses**

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**Net Revenue**

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**\*Attach additional sheets as necessary for additional sub-recipients.**

## II. FINANCIAL HISTORY & PROJECTIONS

Please provide us with summary information about your organization's financial history and projected budget.

|                                   | <b>Projected<br/>Budget for Next<br/>Fiscal Year (Not<br/>Including Grant<br/>Funds)</b> | <b>This Fiscal Year</b> | <b>Last Fiscal Year</b> | <b>Fiscal Two<br/>Years Ago</b> |
|-----------------------------------|--|-------------------------|-------------------------|---------------------------------|
| Fiscal Year                       | _____  | _____                   | _____                   | _____                           |
| Prior Year Net<br>Assets          | _____  | _____                   | _____                   | _____                           |
| <b>Total Revenue</b>              | _____  | _____                   | _____                   | _____                           |
| <b>Total<br/>Expenses</b>         | _____  | _____                   | _____                   | _____                           |
| <b>End of Year<br/>Net Assets</b> | _____  | _____                   | _____                   | _____                           |

**FORM E.      APPLICANT ASSURANCES.**

- i. Applicant agrees to vigilantly safeguard the awarded funds, to maintain financial controls sufficient to protect such funds, to ensure that the use of grant funds fully comports with the application for their disbursement, and to provide detailed written description of such financial controls upon request by the Attorney General's Office or the State Bar.
- ii. Applicant agrees to cooperate with the Attorney General's Office and any other state agency authorized to audit the use of state funds, and to provide all information and documents concerning the use of grant funds. Applicant agrees to maintain sufficient records for auditing purposes to substantiate any expenditure.
- iii. Applicant agrees to provide other information as required to evaluate the proposal.
- iv. Applicant will not discriminate on the basis of sex, gender, gender identity, gender expression, race, color, religion, ancestry, national origin, disability, medical condition, genetic information, marital status, familial status, source of income, age, or sexual orientation.
- v. Applicant certifies that it is in compliance with the conflict of interest provisions of Cal. Pub. Cont. Code §§ 10410 & 10411.
- vi. Applicant will permit reasonable site visits and supply any additional information the Attorney General's Office or the State Bar deems reasonably necessary to determine compliance with the terms of the grant.
- vii. Applicant assures that, to the extent this grant is being sought for an existing project, the funds will be in addition to and will not supplant current funding committed to that project. However, to the extent applicant seeks to move some of the funding already committed to the project for use on other activities, the applicant will submit a request to the Attorney General's Office and the State Bar that describes the need for the other activities and justifies the alternate use of the funds.
- viii. Applicant agrees to establish protocols for effective oversight of the quality of services to be provided by staff, sub-recipients and volunteers.
- ix. Applicant understands that approval of this application does not constitute an endorsement of the applicant's project by the Attorney General's Office or the State Bar.
- x. Any unused or excess grant funds shall be returned to the Attorney General's Office upon completion of the project.
- xi. Grant recipients shall provide quarterly expenditure reports, progress reports every six months, and a post-grant self-evaluation report (detailed below). The Attorney General's Office and the State Bar reserve the right to deny grant extensions, demand refund of unused funds, and/or demand disgorgement if either agency determines that an applicant's report fails to demonstrate the grant recipient's satisfactory performance or continued project viability.
- xii. Applicants will submit a self-evaluation report within six months after the conclusion of the project. The report shall specify how funds were used, and, if applicable, a description of the progress and/or outcome of the project for which the funds were awarded.
- xiii. Applicants will maintain detailed accounting records and other evidence pertaining to costs incurred for four years from the close of the grant. The close of the grant occurs upon receipt and approval of the post-grant self-evaluation report.
- xiv. Applicant will cooperate with data collection processes and with research efforts of the Attorney General's Office or the State Bar of California (subject to any applicable privileges) to help identify areas of need, potential enforcement issues and key areas for future services.

Applicant will obligate sub-recipients to collect and report all data according to specified time schedules, and will submit all reports to grantor according to specified time schedules.

- xv. Applicant assures that it will provide a drug-free workplace as required by California Government Code Sections 8355 through 8357.
- xvi. Applicant agrees that any grant will be subject to such terms and conditions as may be required by the AGO and the State bar.
- xvii. Applicant agrees to indemnify and hold harmless the State of California and the AGO, its officers, agents, and employees, individual members of the panel of experts, and the State Bar of California, from liability for loss or damage to the extent caused by the negligent acts, misconduct, or omissions of the grantees, their agents, employees, or subcontractors.
- xviii. Applicant certifies that the undersigned has authority to make this application on behalf of the organization.

Signed:

\_\_\_\_\_  
Executive Director  
Applicant Program

\_\_\_\_\_  
Chair, Board of Directors  
Applicant Program

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date