COUNTY OF LOS ANGELES
**REGISTRAR-RECORDER/COUNTY CLERK**
12400 Imperial Highway – P.O. Box 1024, Norwalk, California 90651-1024 – www.lavote.net

**DEAN C. LOGAN**
Registrar-Recorder/County Clerk

**ADOPTED**
BOARD OF SUPERVISORS
COUNTY OF LOS ANGELES
21 JULY 5, 2011
Sachi A. Hamai
SACHI A. HAMAI
EXECUTIVE OFFICER

July 05, 2011

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

**APPLICATION FOR FEDERAL FUNDS UNDER THE FEDERAL VOTING ASSISTANCE PROGRAM (FVAP) TO IMPLEMENT THE FVAP ELECTRONIC ABSENTEE SYSTEMS FOR ELECTIONS PROGRAMS GRANT**

**SUBJECT**

Request authority for the Registrar-Recorder/County Clerk, to complete the Multi-County competitive grant application with Orange and Trinity counties by the July 11, 2011 federal application deadline for funds under the Federal Voting Assistance Program (FVAP) Electronic Absentee Systems for Elections Programs Grant. The intent of the grant is to improve the voting experience of Uniform and Overseas Citizen Absentee Voter Act (UOCAVA) voters by reducing voting impediments and stimulating the development of innovative approaches to voting by UOCAVA voters.

**IT IS RECOMMENDED THAT YOUR BOARD**

1. Authorize the Registrar-Recorder/County Clerk, or designee, to participate with the counties of Orange and Trinity, in developing a proposal and submitting a Multi-County application (sample provided as Attachment I) for federal funding under the FVAP Electronic Absentee Systems for Elections Programs Grant.

2. Delegate authority to the Registrar-Recorder/County Clerk or designee to conduct all negotiations and execute any necessary agreements and/or amendments with FVAP in furtherance of and as may be necessary to apply for, receive and expend FVAP grant funds, in accordance with the terms and conditions of the grant, provided that County Counsel and/or Chief Information Office review and approval is obtained prior to executing such agreement and/or amendments. Your Board will be notified in writing within 15-days of execution of the agreement.

**PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION**

The purpose of the recommended action is to authorize the RR/CC to participate in the development of a Multi-County application and proposal for a FVAP Grant through the Washington Headquarters Services/Acquisition Directorate (WHS/AD), Defense Human Resources Activity - FVAP who is responsible for oversight of the FVAP Grant process and distribution of the funds to counties. The FVAP Grant is a competitive process for federal funds to lessen current impediments that exist and to increase participation in the elections process for UOCAVA voters.

The RR/CC supports the intent of the FVAP Grant program and believes that Los Angeles County UOCAVA voters eligible to vote in our jurisdiction would greatly benefit from electronic tools that will be developed utilizing monies awarded under this grant opportunity. Not only does the RR/CC hope to utilize monies to develop products to enhance the voting process for the over 25,000 registered UOCAVA voters in Los Angeles County, but also looks forward to the opportunity to increase UOCAVA voter registration and participation for a historically challenging, hard to reach population. Additionally, developments made as a result of this funding can be shared and continually modernized by multiple jurisdictions; therefore, serving as an impetus for increased UOCAVA registration and participation nationwide.

Los Angeles County, in conjunction with Orange and Trinity counties (Multi-County Partnership), is eligible to apply for a maximum amount of $16,200,000 in grant funds which must be expended by the ballot certification deadline for the November 2012 Presidential General Election (subject to negotiation). The Multi-County partnership anticipates requesting a funding amount of approximately $1,500,000. The Federal Government reserves the right to accept proposals in their entirety or to select only portions of proposals for award and therefore, not every authorized entity may receive the maximum amount it applied for.

The proposal, includes a Multi-County collaboration in conjunction with election management systems software vendors to create and provide an online voter registration system that can be used by all eligible voters, including those residing overseas from every county in the state. The tool created will allow the County's Voter Information Management System (VIMS) to communicate and transfer data between the Secretary of State (SOS) and the Department of Motor Vehicles (DMV). The data transferred would include the digital signature of the voter from DMV's driver's license system, which would be tied to the voter's online registration record. The County's collaboration with Orange and Trinity counties would cover all of the election management system vendors currently operating in California, ultimately allowing all UOCAVA voters statewide to benefit from these data links.

Any funds received pursuant to this program shall be used by the County in accordance with the FVAP Grant Program. The provisions of the FVAP Grant Program seek to improve the voting experience of UOCAVA voters, reduce voting impediments faced by them, and stimulate the development of innovative approaches to absentee voting by UOCAVA voters. FVAP also identifies the following objectives for this grant application:

- Establish and operate successful, sustainable and affordable electronic tools that will improve voting systems for voters protected by UOCAVA.
- Increase the percentage of ballots successfully returned by UOCAVA voters to be either equal to,

or greater than the percentage of ballots returned by the general absentee voting population.
□ Reduce the failure rates for UOCAVA voters experienced in each of the various stages of the absentee voting process (such as voter registration, absentee ballot request, blank absentee ballot delivery, absentee ballot marking, absentee ballot tabulation, and absentee ballot return verification). The standard for such reductions is to reduce these failure rates to be equivalent to the level of the general electorate for similar stages in the voting process, and for similar demographic populations.
□ Establish and maintain a pipeline of ideas, techniques and best practices of election officials and their services for UOCAVA voters.

**Implementation of Strategic Plan Goals**

This request supports the County Strategic Plan as follows:

Goal No. 1: Operation Effectiveness:
Strategy 1: Fiscal Sustainability:
Strengthen the County's fiscal capacity by effectively applying for and managing available grant resources. Utilize Federal funds to implement online voter registration systems that will support UOCAVA voter participation and confidence without utilizing County funds.

Strategy 2: Service Excellence and Organizational Effectiveness:
Provide eligible UOCAVA voters with easy access to quality election information and services that are both beneficial and responsive. Specifically, funds will be utilized to establish and operate successful, sustainable and accessible electronic tools that will improve voting systems for voters protected by UOCAVA. If passed, SB 397 would authorize counties to develop and use an electronic voter registration system for the electronic submission of an affidavit of voter registration from a person who is qualified to register to vote. Furthermore, with the enactment of AB1717 on January 1, 2011, these modifications may assist in altering the County's voter registration system to accommodate not only UOCAVA voters, but all voters seeking to opt out of receiving ballot material by mail and instead receive materials electronically. Overall, the Department believes that the tools developed as a result of these grant funds have the capability to improve voter registration and participation within all voting jurisdictions in the State of California.

Strategy 3: Environmentally Responsible Practices:
Reduce the production of paper-based election materials by allowing them to be electronically transmitted.

Strategy 5: Information Technology:
Promote, share and coordinate information technology services, which are cost-effective, reliable, accessible, and secure, to achieve operational improvements and County business goals: Funds will be used to ensure online voter registration is efficient, effective and technologically sound. These changes will provide voters with real-time election materials from a publicly accessible Internet site and registered email address. Further, modifications to the County's online voter registration system can be adjusted to comply with ever-changing legislative reform and technological innovations can be shared nationwide to promote voter participation.

**FISCAL IMPACT/FINANCING**

Approval of the recommended action will allow Los Angeles County to apply for federal funds of

approximately $1.5 million to create and implement electronic and Internet based modifications to the RR/CC's voter registration system with the initial focus on UOCAVA voters. There is no net County cost associated with the application or acceptance phases of these grant funds.

## FACTS AND PROVISIONS/LEGAL REQUIREMENTS

UOCAVA is a United States federal law related to elections and voting rights for United States citizens residing overseas. The act requires that all U.S. States, the District of Columbia, Puerto Rico, Guam, American Samoa, and the U.S. Virgin Islands allow certain U.S. citizens to register to vote and to vote by absentee ballot in federal elections. The act is Public Law 99-410 and was signed into law by President Ronald Reagan on August 28, 1986.

Local election officials are specifically tasked with UOCAVA responsibilities such as:
- Tracking the receipt of UOCAVA voters' ballots,
- Accepting UOCAVA registration and absentee ballot applications that are outside of the procedures for the general electorate,
- Advising UOCAVA voters if their registration or absentee ballot request is rejected and the reason why, and
- Accepting Federal Write-in Absentee Ballots (FWAB)

State and local election officials have extensive statutory mandates to support voting by UOCAVA voters, separate and apart from the procedures used for the general electorate, including requirements to:
- Provide voter registration and absentee ballot application information and forms electronically;
- Transmit absentee ballots electronically;
- Provide UOCAVA voters with a method to track the receipt of their absentee ballots electronically;
- Transmit ballots 45 days before any federal election; and
- Report on data collection requirements as the Presidential Designee for UOCAVA (the Department of Defense) determines necessary.

Specifically, the FVAP Electronic Absentee Systems for Elections Programs' Grant focus is improving the voting experience of UOCAVA voters, reducing voting impediments, and stimulating the development of innovative approaches to voting by UOCAVA voters. The Multi-County application will focus on establishing an online voter registration database that will not only serve to improve the overall voting experience of UOCAVA voters, but also have the potential to facilitate a seamless and efficient technology-based transition should pending legislation be enacted. Pending legislation, SB 397, if passed, would authorize counties to develop and use an electronic voter registration system for the electronic submission of an affidavit of voter registration from a person who is qualified to register to vote. Additionally, AB 1717 passed by the California Legislature and signed by the Governor in 2010 established procedures to allow a voter to opt out of receiving ballot materials by mail and instead obtain them via electronic means such as e-mail or from a county's/city's Internet Website.

## IMPACT ON CURRENT SERVICES (OR PROJECTS)

Approval of the recommended action will allow the RR/CC to enhance voter services by improving accountability, participation, confidence, overall ease, and voter satisfaction in the elections process

for UOCAVA voters.

**CONCLUSION**

Upon approval of the recommended Agreement, it is requested that the Executive Officer/Clerk of the Board, return one adopted stamped copy of the approved Board letter to County of Los Angeles, Registrar-Recorder/County Clerk, 12400 Imperial Highway, Room 7201, Norwalk, CA 90650, Attention: Ngozi Ume, Manager, Finance and Management Division.

Respectfully submitted,

Dean C. Logan

DEAN C. LOGAN

Registrar-Recorder/County Clerk

DCL

Enclosures

**Electronic Absentee Systems for Elections (EASE) Grants**
**For States, Territories and Localities**
**Solicitation number HQ0034-FVAP-11-BAA-0001**

# Part I:

## I. INTRODUCTION

This publication constitutes a Broad Agency Announcement (BAA) as contemplated in Department of Defense Grants and Agreements regulations (DoDGARS) 22.315, which allows the Federal Voting Assistance Program (FVAP)[1] to enter competitively into a grant agreement with a State or local government. No additional information regarding this announcement will be issued.

FVAP in conjunction with Washington Headquarters Services/Acquisition Directorate (WHS/AD) will not issue paper copies of this announcement. FVAP reserves the right to fund all, some or none of the proposals received under this BAA. FVAP provides no funding for direct reimbursement of proposal development costs. Technical and budget proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of FVAP to treat proposals as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

## II. GENERAL INFORMATION

**A.** Agency Name:
Requesting Agency: Defense Human Resources Activity - Federal Voting Assistance Program (FVAP)
Issuing Agency: Washington Headquarters Services/Acquisition Directorate (WHS/AD)

**B.** Funding Opportunity Title:
Grants for FVAP Electronic Absentee Systems for Elections Programs

**C.** Program Name:
Electronic Absentee Systems for Elections (EASE) Grants

**D.** Catalog of Federal Domestic Assistance Number:
12.217

## III. RESPONSE DATES

This announcement will remain open for thirty five (35) days from the date of issue of this BAA or until it is replaced by a successor, whichever occurs first. **Submission of proposals is accepted at any time during this period. Submit questions in writing by electronic**

[1] Ex. Ord. No. 12642. Designation of Secretary of Defense as Presidential Designee, June 8, 1988, 53 F.R. 21975, See also DoD 1000.04, current as of April 23, 2007.

**mail to kortnee.stewart@whs.mil and natalie.melomed@whs.mil.** Answer to questions submitted in response to this BAA will be addressed in the form of an amendment and posted on Grants.gov Webpage- http://www.grants.gov/

## IV. BACKGROUND

- FVAP is required to provide voters, pursuant to the authority of the Uniform and Overseas Citizen Absentee Voter Act of 1986 (UOCAVA), and subsequent federal law, a broad range of voting assistance programs, including: prescribing official forms for UOCAVA voter registration, absentee ballot application and balloting materials;
- compiling and distributing to UOCAVA voters descriptive materials on State registration, absentee ballot request, and absentee voting procedures;
- compiling and distributing to UOCAVA voters information on all elections (not just federal), including contests, candidates, ballot questions, and key dates;
- in cooperation with States, develop and deploy a demonstration project where military voters are able to cast their federal election ballots over an electronic absentee voting system; and
- providing, in cooperation with State and local election officials, online information and voting assistance resources to military and overseas voters.

These requirements are mirrored and expanded for each of the military services to provide even greater voting assistance to UOCAVA voters for election information generated and executed by State and local election officials.

State and local election officials have extensive statutory mandates to support voting by UOCAVA voters, separate and apart from the procedures used for the general electorate, including requirements to:

- provide voter registration and absentee ballot application information and forms electronically;
- transmit absentee ballots electronically;
- provide UOCAVA voters a method to track the receipt of their absentee ballots electronically;
- transmit ballots 45 days before any federal election; and
- report on data collection requirements as the Presidential Designee for UOCAVA (the Department of Defense) determines necessary.

Local election officials specifically are tasked with UOCAVA responsibilities such as:

- tracking the receipt of UOCAVA voters' ballots;
- accepting UOCAVA registration and absentee ballot applications that are outside of the procedures for the general electorate;
- advising UOCAVA voters if their registration or absentee ballot request is rejected and the reason why; and
- accepting Federal Write-in Absentee Ballots (FWAB)

# PART II:

## I. FUNDING OPPORTUNITY DESCRIPTION

The purpose of the Federal Voting Assistance Program (FVAP) grant program is to receive proposals that will fulfill a public purpose of support by improving the voting experience of UOCAVA voters, reduce voting impediments faced by them, and stimulate the development of innovative approaches to absentee voting by UOCAVA voters. FVAP identifies the following objective for this FOA:

Provide research data to advance FVAP's electronic absentee voting support responsibilities for UOCAVA voters. Electronic absentee voting system research, development, testing, and evaluation are to collect and present data that can show cost-effective methods that:

- Establish and operate successful, sustainable and affordable electronic tools that will improve voting systems for voters protected by UOCAVA.
- Increase the percentage of ballots successfully returned by UOCAVA voters to be either equal to, or greater than the percentage of ballots returned by the general absentee voting population.
- Reduce the failure rates for UOCAVA voters experienced in each of the various stages of the absentee voting process (such as voter registration, absentee ballot request, blank absentee ballot delivery, absentee ballot marking, absentee ballot tabulation, and absentee ballot return verification). The standard for such reductions is to reduce these failure rates to be equivalent to the level of the general electorate for similar stages in the voting process, and for similar demographic populations.
- Establish and maintain a pipeline of ideas, techniques and best practices of election officials and their services for UOCAVA voters.

## A. ADDITIONAL INFORMATION

Applicants are encouraged to develop innovative approaches that utilize their unique assets, capabilities, locations, and personnel. Proposals should identify programs and methods that will foster and develop products to lessen the impediments that exist for the UOCAVA voter. In conjunction with a group of election officials and subject matter experts, FVAP developed and defined the following terms as significant components that will, in turn, provide the greatest service to the UOCAVA voter as well as FVAP's need for the identification of the most effective approaches and solutions for addressing the myriad of difficulties faced by the UOCAVA voter. Factors to be considered in evaluating proposals are as follows, listed in descending order of importance:

1. **Significance (Factor 1)**
   FVAP research indicates that UOCAVA voters experience a higher failure in every stage of the voting process than comparable populations in the general electorate. Therefore, grant applications that address various stages of the voting process are encouraged, especially those that provide online voter registration and absentee ballot application

capabilities, improved and more seamless access to UOCAVA voter information (such as user-friendly online information websites), or tools that confirm voter success or failure at completing various stages of the voting process.

2. **Sustainable (Factor 2)**
   Grant proposals should address sustainability, both in terms of continuing to provide FVAP research, testing, and evaluation data over time, as well as in terms of demonstrating how the application tool can be cost-effectively sustained by State or local election officials (as appropriate) over time.

3. **Impact (Factor 3)**
   The number of UOCAVA voters affected will serve as a measurement as to how much of an impact of the proposed project will have on the UOCAVA population. Impact also addresses the expected number of additional registrations, absentee ballot applications, information enquiries, ballot transmissions, ballot markings, or ballot returns are successfully completed.

4. **Strategic Approach (Factor 4)**
   The proposed project must have a basis upon the presentation of a credible hypothesis (or set of hypotheses) and a well-defined and appropriate plan to test that hypothesis. Such hypotheses should advance the body of knowledge needed to alleviate the obstacles faced by UOCAVA voters in their absentee voting process as well as identify risk areas and provide mitigating strategies and controls as well as benchmarks for success.

5. **Innovation (Factor 5)**
   Innovation reflects the discovery or implementation of new technologies. Preferably, these new technologies will lead to the development of processes, products, and techniques that other jurisdictions can replicate.

   **Please note: The electronic transmission of voted ballots in an actual election will not be funded through these grants. However, FVAP will consider applications that propose demonstration projects that test the electronic transmission of voted ballots to analyze the security and reliability of online voted ballot transmission systems in environments other than actual elections.**

6. **Scalability (Factor 6)**
   Scalability is the ability of the proposed project to continue to function well when it changed in size or scope in order to meet a broad range of election officials' needs. A scalable system is able to maintain, at a minimum, its level of performance or efficiency when applied to different operational demands.

7. **Collaborative (Factor 7)**
   This is the extent to which the grant application demonstrates collaboration of effort from more than one jurisdiction. Solutions developed collaboratively by multiple jurisdictions will likely be more exportable to other jurisdictions.

8. **Cost Benefit Analysis (Factor 8)**

Analysis of cost, benefit and return of investment of the proposed research and/or tool is pertinent. A comparison of cost versus benefits based on initial investments and a detailed description of return of investment (ROI) measures is essential. For proposals that entail several components that can, in effect, be phased or implemented in modules, where each can be a complete capability. Itemizations of each capability as well as the cost benefit analysis of each capability need to be included for proper evaluation in the event of partial funding.

## II. AWARD INFORMATION

The intention of this Broad Agency Announcement (BAA) is for the receipt of proposals related to research projects that will enhance the absentee voting process for uniformed personnel, their spouses and dependents as well as overseas citizens. The amount and period of performance of each selected proposal may vary depending on the research area developed with the technical approach pursued by the selected applicant.

Federal Voting Assistance Program (FVAP) plans to make multiple awards that address the objectives described in the funding opportunity description in this BAA. These awards will represent the best value to the government in accordance with the evaluation criteria. FVAP seeks participants for this program that are capable of supporting the goals and desired outcomes as described in the announcement. Applicants have the opportunity to be creative in the selection of the technical and management processes and approaches that address the areas of interest described above.

The maximum term of the grant will be through the ballot certification deadline for the November 2012 General Election (subject to negotiation).

Total amount of funding available for grants resulting from this Broad Agency Announcement is $16,000,000.

The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation and to make awards without discussions with proposers.

The Government anticipates making award without discussions, therefore, offerors proposals shall be their best. However, the Government reserves the right to conduct discussions if it is determined by the grants officer to be necessary.

The Government reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event The Government desires to award only portions of a proposal, negotiations may be opened with that proposer. In some cases, The Government may fund proposals in phases with options for continued work at the end of one or more phases. The Government reserves the right to request additional documentation once award has been determined. The Government reserves the right to remove proposers from award consideration should the parties fail to reach agreement on award terms within a

reasonable time or the proposer fails to provide requested additional information in a timely manner.

## III. ELIGIBILITY INFORMATION

**A. Types of entities that may apply:** State, local jurisdictions and U.S. Territories may submit proposals under this BAA.

**B. Cost Sharing:** Cost sharing is not required and will not be considered

## IV. APPLICATION AND SUBMISSION INFORMATION

### A. Proposals:

**Due Date and Time:** proposals are due by **5:00PM (EDT) June 22, 2011**. However, proposals will be considered as they are received prior to the proposal deadline.

**Questions:**
The due date for questions is by **12:00 PM (EDT) May 31, 2011**.

**All questions must be submitted to both business points of contact kortnee.stewart@whs.mil and natalie.melomed@whs.mil. Those questions that are not directly submitted to the business points of contract may not receive an answer. Any response provided by point of contact other than the business points of contact will not bind the Government in any manner.**

The applicants shall use the Grants.gov for submission of grants proposals athttp://www.grants.gov/. No other method will be accepted.

NOTE: PROPOSAL SENT BY MAIL, FAX, OR E-MAIL WILL NOT BE CONSIDERED.

**Special Notices Relative to Grant Applications to be Submitted Through Grants.gov**

All attachments to grant applications submitted through Grants.gov must be in Adobe Portable Document Format (pdf file).

After upload of proposals to Grants.gov, the applicant receives an e-mail indicating the proposal has been submitted and that Grants.gov will take up to two days to validate the proposal. Grants.gov may reject the proposal during the validation process. Therefore, applicants who have registered with Grants.gov are urged to submit their proposals electronically at least three days before the date and time proposals are due so that it will not be received late and be ineligible for award consideration.

**1. Content and Format of Proposal:**

Proposals submitted under this BAA are required to be unclassified.

All proposal submissions receive protection from unauthorized disclosure. Upon receipt, all grant proposals are safeguarded from unauthorized disclosure throughout the review and selection process. Applicants are expected to mark each page of their submission that contains proprietary information.

FVAP's and WHS/AD policy is to treat all abstracts and proposals as proprietary information and to disclose the contents only for the sole purpose of evaluation.

Proposers are responsible for identifying proprietary information to WHS/AD and FVAP. Proposals containing proprietary information must have the cover page and each page containing such information clearly marked. Proprietary Information must not be included in the schedule and milestones or the statement of work.

IMPORTANT NOTE: Titles given to the proposal should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

**2. Format for Full Proposal Format:**

- Paper Size – 8.5 x 11 inch paper
- Margins- 1 inch
- Spacing- Single spaced
- Font- Times New Roman, 12 point
- Number of Pages- Volume 1 is limited to no more than **eighteen (18) single-sided pages**. Limitations within sections of the proposal, if any, are indicated in the individual descriptions shown below. The cover page, table of contents, reports, pending proposal submissions and qualifications are excluded from the page limitations. Proposal exceeding the page limit may not be evaluated. There are no page limitations to Volume 2 – Budget Proposal.

**3. Instructions for Proposal**

**a. Technical Proposal:**

**i. <u>COVER PAGE:</u>**
(Not included in page limitations)
This should include the words "Technical Proposal" and the following:

1) Catalog of Federal Domestic Assistance Number: **12.217**
2) BAA number: **HQ0034-FVAP-11-BAA-0001**
3) Title of Proposal: **IMPORTANT NOTE**-Titles given to the proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.
4) CAGE Code and DUNs Number

5) Identity of applicant and complete list of contractors, and/or sub recipients, if applicable
6) Technical contact (name, address, phone/fax, electronic mail address)
7) Administrative/ business contact (name, address, phone/fax, electronic mail address)
8) Proposed period of performance

ii. **TABLE OF CONTENTS:**
(Not included in page limitations)

This is an alphabetical/numerical listing of sections within the proposal, including corresponding page numbers.

iii. **TECHNICAL APPROACH AND JUSTIFICATION:**
(Eight [8]-page limit)
The technical approach and justification must contain the following components:

1) Executive Summary: Briefly summarize the overall proposed program in one page or less.

2) Goals and objectives: The major portion of the proposal should consist of a clear description of the technical approach. This discussion should provide the technical foundation and justification for pursuing this particular approach and/or direction and why one could expect it to enable the objectives of the proposal. Provide a description of the program, tool, or project, to include the following:
   - How the proposal will establish and operate successful, sustainable and affordable electronic tools that will improve voting systems for voters covered by UOCAVA.
   - An estimation of the reduction of the failure rates for UOCAVA voters in each of the various stages of the absentee voting process (such as voter registration, absentee ballot request, blank absentee ballot delivery, absentee ballot marking, absentee ballot tabulation, and absentee ballot return verification) specific to the applicant's locale. This will serve as the metric for the identification of successes of the proposed product.
   - How the development of the proposal will improve services for UOCAVA voters in not only the applicant's jurisdiction, but also whether or not it could benefit those of other jurisdictions.
   - Security measures to be instituted to protect users' personal identifying information and any transmitted election material.

3) Schedule and Milestones:
(Two [2] page limit)
Provide a summary of the schedule of the proposal. Describe the intervals in which milestones will be assessed for progress.

4) Reports:
(Not included in page limitations)

Provide a detailed list of reports, inclusive of the timeframe in which they will be delivered. The following are data deliverables that will be required under these efforts:

- Programmatic and Financial Progress Reports
- Data collection points reports
- Final Report

iv. **MANAGEMENT APPROACH:**

(Eight [8]-page limit)

Identify which personnel and contractors/subcontractors, if any, will be involved. Provide past, present or proposed collaborative activities with other institutions/entities, such as other States, territories, local jurisdictions or federal agencies. The management approach must address the applicant's goal to develop the research product and/or tools that meet FVAP's grant objectives to assist UOCAVA voters. The applicant should address the methodology of their proposal to illustrate what will be executed and demonstrate the how the research product or tool will be developed. The management approach must incorporate financial management, identification of milestones and measures of success.

The management approach must also include the following:

- Definition and formalization of the applicant's strategic goals;
- analysis and measurement of current processes;
- identification of each process and the elements that are related to the processes;
- identification of potential risks and mitigating strategies;
- formalization of performance indicators for each process;
- justification for the modification to the existing processes;
- projections of the effectiveness of modifications; and
- measurements of performance.

1. **Current and Pending Project Proposal Submissions:**
(Not included in page limitations)

Applicants are required to provide information on all current and pending support for ongoing projects and proposals, including subsequent funding in the case of continuing contracts, grants, and other assistance agreements. Applicants shall provide the following information of any related or complementary proposal submissions from whatever sources (e.g. federal, State, local or foreign government agencies, public or private foundations, industrial or other commercial organizations).

The information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors. Concurrent submission of a proposal to other organizations will not prejudice its review by FVAP:

- Title of Proposal and Summary;
- source and amount of funding (annual direct costs; provide contract and/or grant numbers for current contracts/grants);
- percentage effort devoted to each project;
- identity of prime applicant and complete list of subcontractors, if applicable;
- technical contact (name, address, phone/fax, and email address);
- period of performance;
- proposed project and all other projects or activities requiring a portion of time of the senior personnel must be included, even if they receive no salary from the project(s);
- award period and amount including indirect costs as well as the number of person-months or labor hours that are to be devoted to the project(s), regardless of support; and
- how projects are related to the proposed effort and indicate the degree of overlap.

2. **Qualifications:**
(Not included in page limitations)

A discussion of the qualifications of any proposed key personnel and consultants. Include resumes for the key personnel and full curricula vitae for consultants.
**NOTE**: This section is not a component of the evaluation criteria.

## v. BUDGET PROPOSAL

The applicant must use the Grants.gov forms (SF 424) from the application package template associated with the BAA located athttp://www.grants.gov/applicants/apply_for_grants.jsp. A separate Adobe pdf document should be included in the application that provides appropriate justification and/or supporting documentation for each cost category proposed. All costs must be listed, justified and match the scope of the effort. Include a justification for the proposal based on the return on investment (ROI) analysis. This analysis should include a comparison of cost versus benefits based on initial investments and a detailed description of ROI measures. The return of investment analysis should also include the expected number of additional registrations, absentee ballot applications, information inquiries, ballot transmissions, ballot markings, or ballot returns that are successfully completed.

1. **Itemized Budget:**
The itemized budget will contain a detailed list of the following:

a) Direct Labor:
List individual labor categories or persons, with associated labor hours and unburdened direct labor rates.

b) Administrative and clerical labor:
Salaries of administrative and clerical staff are normally indirect costs (and included at an indirect cost rate). Direct charging of these costs may be appropriate when a major project requires an extensive amount of administrative or clerical support significantly greater than normal and routine levels of support. Budgets proposing direct charging of

administrative or clerical salaries must be supported with a budget justification that adequately describes the major project and the administrative and/or clerical work to be performed.

c) Fringe Benefits and Indirect Costs (F&A, Overhead, G&A, etc.):
The proposal should show the rates and calculation of the costs for each rate category. If the rates have been approved/negotiated by a Government Agency, provide a copy of the memorandum/agreement. If the rates have not been approved or negotiated, provide sufficient detail to enable a determination of allowability, allocability and reasonableness of the allocation bases, and how the rates are calculated. Additional information may be requested, if needed. If composite rates are used, provide the calculations used in deriving the composite rates.

d) Travel:
The proposed travel cost should include number of trips and the following for each trip: the purpose of the trip, origin and destination if known, approximate duration, the number of travelers, and the estimated cost per trip must be justified based on the organization's historical average cost per trip or other reasonable basis for estimation. Such estimates and the resultant costs claimed must conform to 2CFR Part 225 Cost Principles for State, Local and Indian Tribal Governments.

e) Subcontracts/sub awards:
Provide a description of the work to be performed by contract, subcontract or sub award. **All contractor and subcontractor cost proposal documentations must be prepared at the same level of detail as that required of the grant recipient. For each sub-award: a detailed cost proposal is required to be submitted by the sub-recipient(s).** The application should identify the proposal title, the applicant and that the attached proposal is a subcontract/sub award. A proposal and supporting documentation must be received and reviewed before the Government can complete its analysis of the budget and enter negotiations. All costs are to be in accordance with the appropriate OMB circular and Department of Defense Grant and Agreement Regulations.

f) Consultants:
Unless separately identified in the prime contractor's proposal, provide a breakdown of the consultant's hours, the hourly rate proposed, and any other proposed consultant costs, a copy of the signed Consulting Agreement or other documentation supporting the proposed consultant rate/cost, and a copy of the consultant's proposed statement of work.

g) Materials and Supplies:
Provide an itemized list of all proposed materials and supplies including quantities, unit prices, proposed vendors (if known), and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

h) Other Direct Costs:

Provide an itemized list of all other proposed other direct costs such as contractors, equipment rental/user fees, report and publication costs, and the basis for the estimate (e.g., quotes, prior purchases, catalog price lists).

vi. **Submissions of Grant Proposals through Grants.gov:**

For electronic submission of grant proposals, several one-time actions must be completed in order to submit an application through Grants.gov. These include obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, registering with the Central Contract Registration (CCR), registering with the credential provider, and registering with Grants.gov. See http://www.grants.gov, specificallyhttp://www.grants.gov/GetStarted.

Use the Grants.gov organization Registration Checklist at http://www.grants.gov/applicants/register_your_organziation.jsp, which will provide guidance through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called "MPIN" are important steps in the CCR registration process. **Applicants who are not registered with CCR and Grant.gov should allow at least 21 days for completing these requirements.** The process should be started as soon as possible. Any questions relating to the registration process, system requirement, how an application form works, or the submittal process **must** be directed to Grants.gov at 1-800-518-4726 orsupport@grants.gov.

## V. APPLICATION REVIEW INFORMATION

### A. Evaluation Information

#### 1. Evaluation Criteria

FVAP will award grants based on a competitive selection of proposals that incorporates technical and budget cost criteria. The basis of the technical evaluation is the eight criteria listed below in the descending order of importance. Proposed costs will be evaluated to determine reasonableness and allowability in accordance with 2 CFR Part 225.

For consideration, the applicant must address the following eight criteria listed in descending order of importance:

1. **Significance** to the UOCAVA voting processes,
2. **Sustainability** of the effort beyond the 2012 election cycle,
3. **Impact** of the extent to which the proposal best serves the largest number of UOCAVA voters,
4. **Strategic Approach** alleviate the obstacles faced by UOCAVA voters in their absentee voting process

5. **Innovation** reflecting the discovery or implementation of new technologies,
6. **Scalability** of the proposed project to continue functions for changes in size or scope of the effort,
7. **Collaborative** assessment of the extent to which the proposal efforts extends to more than one or more jurisdiction, and
8. **Cost Benefit Analysis** that includes a detailed description of return of investment (ROI) measures as well as itemization of each capability for proposals that entail several components that can be phased or implemented in modules, where each function can be a be a standalone product.

All proposals will be evaluated against the criteria listed above using the following descriptive ratings:

1. **Outstanding**
2. **Good**
3. **Acceptable**
4. **Marginal**
5. **Unacceptable**

Only those proposals ranked in the first three categories may be considered for funding; those proposals ranked in the later two are ineligible for an award.

## 2. REVIEW PANEL

a) Evaluation Process

Evaluations of grant proposals will be conducted by government employees. The panel of government employees will solicit/consider the recommendation from non-Government subject matter experts, who are strictly bound by the appropriate non-disclosure requirements, as a part of the selection process. The subject matter experts will review the technical components of the proposals and make recommendation based upon the eight evaluation criteria above. Awards will be made to applicants whose proposals are determined to be most advantageous to the Government, all factors considered, including the potential contributions of the proposed work to the overall research program and the availability of funding.

b) Panelist Conflicts of Interest

For the purposes of this policy, a panelist will be considered to have a conflict of interest when the panelist, or certain individuals and entities with which the panelist has a relationship, has a financial interest in the outcome of the competition for which he or she is serving as a panelist. If a panelist has a conflict of interest with any application, the panelist will be excluded from considering that proposal.

# VI. AWARD ADMINISTRATION INFORMATION

## A. CCR REGISTRATION

CCR- Successful Applicants not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to award of any grant, or cooperative agreement. Information on CCR registration is available at https://www.bpn.gov/ccr/default.aspx.

## B. CERTIFICATION

Grant awards greater than $100,000 require a certification of compliance with a national policy mandate concerning lobbying. Grant applicants shall provide this certification by electronic submission of SF424 (R&R) as a part of the electronic proposal submitted via Grants.gov (complete Block 17 of the SF 424). The following certification applies to each applicant seeking federal assistance funds exceeding $100,000.

## C. WIDE AREA WORK FLOW (WAWF)

Performers are required to submit invoices for payment directly at http://wawf.eb.mil. WAWF registration is required prior to any award under this BAA.

## D. CERTIFICATION REGARDING LOBBYING ACTIVITIES

- No Federal appropriated funds have been paid or will be paid by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement, the applicant shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- The applicant shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

## E. SELECTION NOTIFICATION

Prospective offerors that were deemed successful will receive a pre-award notice via e-mail from WHS/AD, Grants Officer. The Government may initiate grant negotiations if the proposal has been selected for immediate funding.

## F. POST AWARD REPORTING REQUIREMENTS

**Progress reports:** In accordance with 32 CFR 33.40, Grantees shall submit annual performance reports, although the Government reserves the right to require quarterly or semi-annual reports. Annual reports shall be due ninety (90) days after the grant year, quarterly or semi-annual reports shall be due thirty (30) days after the reporting period. The final performance reports will be due ninety (90) days after the expiration or termination of grant support.

**Financial Reports:** As specified in 32 CFR 33.41, financial reports will be required no more than quarterly. The due dates for submission are thirty (30) days after the reporting period. Further, financial reports are to be submitted on SF425.

## VII. AGENCY CONTACTS

**Business Points of Contact:**

Mrs. Kortnee R. Stewart
Grants Officer
Washington Headquarters Services
Acquisition Directorate
1700 N. Moore St., Suite 1425
Arlington, VA 22209
kortnee.stewart@whs.mil

Ms. Natalie Melomed
Contract Specialist
Washington Headquarters Services
Acquisition Directorate
1700 N. Moore St., Suite 1425
Arlington, VA 22209
natalie.melomed@whs.mil

**Technical/Program Points of Contact:**

Ms. Robin Burgess
Program Officer
Federal Voting Assistance Program
1777 N Kent St., Suite 14003
Arlington, VA 22209
robin.burgess@fvap.gov
Telephone: 703-588-8119

Mr. Paddy McGuire
Deputy Director
Federal Voting Assistance Program
1777 N. Kent St., Suite 14003
Arlington, VA 22209
paddy.mcguire@fvap.gov
Telephone: 703-588-8132

## VIII. OTHER INFORMATION

### A. ORGANIZATIONAL CONFLICTS OF INTEREST:

All applicants and proposed contractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any DoD office(s) through an active contract or subcontract. All affirmations must state which office(s) the applicant supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest must be disclosed. The disclosure shall include a description of the action the applicant has taken or proposes to take to avoid, neutralize, or mitigate such conflict. Without prior approval, a recipient cannot simultaneously be a SETA and a research and development performer. Proposals that fail to disclose potential conflicts of interests or do not have acceptable plans to mitigate identified conflicts will be rejected without technical evaluation and withdrawn from further consideration for award. If a prospective applicant believes that any conflict of interest exists or may exist (whether organizational or otherwise), the applicant should promptly raise the issue with FVAP by sending his/her contact information and a summary of the potential conflict by e-mail to the Business Point of Contact, before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Government after full consideration of the circumstances, any conflict situation cannot be effectively avoided or mitigated, the proposal may be rejected without technical evaluation and withdrawn from further consideration for award under this BAA.

**B. <u>PROJECT MEETINGS AND REVIEWS</u>:**

Individual program reviews between the FVAP sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. For budget purposes, applicants should assume that all of these meetings would be at or near FVAP, Washington DC metropolitan area. Interim meetings are likely; such meeting could be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

**Please note that only the Grants Officer can bind the Government. Further, any pre-award notice indicating that a proposal was successful; neither obligates the Government to make an award nor commits the Government to reimburse any pre-award costs incurred in anticipation of an award.**

**Attachment A**

WASHINGTON HEADQUARTERS SERVICES/ACQUISITION DIRECTORATE

# INFORMATION AND INSTRUCTIONS TO FEDERAL ASSISTANCE APPLICANTS

## Non-Construction Grants

The Department of Defense (DoD) Grant and Agreement Regulations are published at Chapter I, Subchapter B, Title 32 of the Code of Federal Regulations (CFR). These regulations provide the uniform policies and procedures for the award and administration of grants and other assistance instruments negotiated and awarded by the Washington Headquarters Services/Acquisition Directorate (WHS/AD). These regulations can be viewed on the internet as follows:
http://www.dtic.mil/whs/directives/corres/html/32106r.htm

- **32 CFR Part 33 – State and Local Governments**

The Applicant must provide the following documentation prior to initiation of discussions regarding the terms and conditions of the proposed award. The Application forms listed below, are available on the Grants .Gov apply website under the Announcement number HQ0034-FVAP-11-BAA-0001www.apply.grants.gov. Active fillable forms may also be accessed from the Grants.gov website: www.grants.gov under For Agencies, and Forms Repository.

**1. Application for Federal Assistance (Standard Form (SF) 424).** The SF424 incorporates pertinent identification information of the Applicant. The SF424 will be incorporated as an attachment to the award instrument.

☒ **Required** ☐ **Not Applicable** ☐ **May be required prior to award**

**2. Budget Information – Non-Construction Programs (Standard Form (SF) 424A).** This form provides for a macro-level of the proposed budget for the initial proposed term of the award and subsequent funding periods. Additional supporting data should be included to detail specific proposed expenditures for (a) the acquisition of significant equipment, (b) identification of subcontractors, (c) travel, (d) and other significant cost categories. The SF424A will be incorporated as an attachment to the award instrument.

☒ **Required** ☐ **Not Applicable** ☐ **May be required prior to award**

**3. Assurances – Non-Construction Programs (Standard Form (SF) 424B).** This form provides for the Applicant's duly authorized representative to certify that the Applicant will comply with all applicable Federal statutes and regulations.

☒ **Required** ☐ **Not Applicable** ☐ **May be required prior to award**

**4. Concept Plan.** This is a narrative of the proposal detailing the effort contemplated under the award. The Applicant should detail the proposed technical effort, curriculum vitae of the principal investigator(s) (if applicable), and a general description of proposed subcontracts, travel, acquisition and use of supplies and equipment. The Concept Plan will be incorporated by reference in the award document. It is recommended.that this documentation be provided in both hard copy and on computer diskette (Microsoft Word).

☒ **Required** ☐ **Not Applicable** ☐ **May be required prior to award**

**5. Revised Concept Plan.** This is a revised narrative of the proposal detailing the effort contemplated, when the recommendations for award include reduction of technical scope and/or budget.

☐ **Required** ☐ **Not Applicable** ☒ **May be required prior to award**

The Applicant must complete the following actions prior to conclusion of discussions regarding the terms and conditions of the proposed award.

**1. Data Universal Numbering System (DUNS) Number.** If the Applicant does not have a DUNS number, it should contact Dun and Bradstreet to obtain one at no charge. Applicants within the United States may call 1-800-333-0505. The Applicant may obtain more information regarding the DUNS number, including locations of local Dun and Bradstreet Information Services offices for Applicants located outside the United States, from the Internet home page at http://www.customerservice@dnb.com/. The Applicant must have a DUNS number prior to initiating registration in the Central Contractor Registration (CCR) database (see below). If the Applicant already has a DUNS number, the WHS/AD Grants Officer should be advised as soon as possible.

☒ **Required** ☐ **Not Applicable**

**2. Central Contractor Registration (CCR).** It is the policy of the Department of Defense and the Defense Contracting Command-Washington that Recipients of Federal Assistance awards be registered in the Central Contractor Registration (CCR) database as a condition of award. Registration will facilitate DoD Grant and Agreement Regulations requirements for Electronic Funds Transfer (EFT). If the Applicant is already registered in the CCR, the WHS/AD Grants Officer should be advised of the Applicant's DUNS and CAGE Codes as soon as possible. The CCR registration process can be accomplished via the Internet at: http://www.ccr.gov/.

☒ **Required** ☐ **Not Applicable**

**3. Independent Audit.** If checked, the proposed Applicant should submit one (1) copy of its most recent independent audit.

☒ **Required** ☐ **Not Applicable** ☐ **May be required prior to award**

**4. Indirect Cost Rate Agreement.** If checked, the Applicant should submit one (1) copy of its most recent Predetermined Indirect Cost Rate Agreement (negotiated with the Federal Government Agency having cognizance over the Applicant (i.e., Department of Health and Human Services, Office of Naval Research, etc.).

☐ **Required** ☐ **Not Applicable** ☒ **May be required prior to award**

**5. Procurement Procedures.** If applicable, the Applicant should submit one (1) copy of the Applicant's organizational procedures for the award for subcontracting support of the contemplated effort.

☐ **Required** ☐ **Not Applicable** ☒ **May be required prior to award**

**6. Commercial and Government Entity (CAGE) Code.** If the Applicant does not have a CAGE code, one will be assigned as part of the CCR registration process. If the Applicant's CAGE code is known, the Applicant should provide it to the WHS/AD Grants Officer as soon as possible.

☒ **Required** ☐ **Not Applicable**

The Applicant shall forward the completed Application for Federal Assistance (and all other documentation and information specified herein) to the WHS/AD Grants electronically through the Grants.gov Apply site.