Office for Victims of Crime

FY 2003 Discretionary Continuation Grant Application Guidelines

Contents

Introduction to FY 2003 OVC Discretionary Continuation Grants

This document provides instructions to assist current OVC discretionary grantees to prepare and submit an application for continued funding of their existing projects. Only grantees that have received confirmation from OVC that continuation funding has been approved for their existing project may apply under this program. The Office of Justice Programs (OJP) now requires that funding applications be submitted through the OJP Grants Management System (GMS). All applications must be submitted electronically through GMS which can be accessed at www.ojp.usdoj.gov/fundopps.htm. Applications for continuation funding must be submitted to GMS by 8 p.m. EST on August 7, 2003. The GMS registration deadline for these solicitations is 8 p.m. EST on July 22, 2003.

Application Guidelines and Instructions

How To Apply

OJP now requires that funding applications be submitted through the OJP Grants Management System (GMS). Access through the Internet to this online application system will expedite and streamline the receipt, review, and processing of requests for funding. Applications will only be accepted through the GMS online application system.

To learn how to begin the online application process, please see the Quick Start Guide to Using OJP's Online GMS on page 4. A toll-free telephone number (1-888-549-9901) has been established to provide applicants with technical assistance as they work through the online application process.

Application Review Checklist

All applications must be submitted electronically through OJP's GMS, which can be accessed at www.ojp.usdoj.gov/fundopps.htm. Please use this checklist to make sure your application is complete. Your GMS application must include:

Online Forms

___   **Application for Federal Assistance (Standard Form 424).** This form is generated by completing the Overview, Applicant Information, and Project Information screens in GMS.

___   **Assurances and Certifications.** The Assurances and Certifications must be reviewed and accepted electronically by the authorizing official or the designated authorizing official.

Attachments (3)

___   **Budget Detail Worksheet (Attachment #1).** The Budget Detail Worksheet must present a detailed budget that itemizes all proposed costs and must include a budget narrative that provides justification for all proposed costs.

___   **Program Narrative (Attachment #2).** The Program Narrative must include:

- Project Abstract
- Problem Statement
- Project Goals and Objectives
- Project Design/Implementation Plan
- Organizational Capability and Project Management
- Plans for Measuring Progress and Outcomes

___   **Other Program Attachments (Attachment #3).** The Other Program Attachments must include the following elements. **Note:** All of the below materials must be attached in one (1) file.

- Resumes of key personnel/position descriptions (required)
- Letters of support (where appropriate)
- Memoranda of understanding (where appropriate)
- Names and affiliations of the author(s) of the application proposal should be clearly identified (required)

Please refer to corresponding sections in this announcement to determine the specific contents of each of these attachments.

Quick Start Guide to Using OJP's Online Grants Management System

Step 1. Using an established Internet account, go to www.ojp.usdoj.gov/fundopps.htm. An online Applicant Procedures handbook is available on this page and applicants may link directly to OJP's Grants Management System (GMS), which provides online help screens. **Note:** Applicants without an Internet account should call the GMS Hotline at 1-888-549-9901 for assistance.

Step 2. Click on "Logon to the Grants Management System (GMS)."

Step 3. Follow the onscreen instructions. First-time GMS users should click on "New User? Register Here." Applicants who already have a GMS password should click on "GMS Sign-In." Proceed to the FY 2003 OVC Discretionary Continuation Grants Solicitation and Application Guidelines and begin working on it. Applicants will receive e-mail confirmation from OVC that they are eligible to submit an application within 7 days. Plan ahead. Applicants can register at any time and are encouraged to do so as soon as possible. Applicants must create a separate GMS account for each application to be submitted. **Please note:** Applicants must ensure that the information for the authorizing official and alternate contact is entered correctly. The authorizing official is the individual authorized to accept grant funds in your organization. If the individual applying online is not the signing authority, that individual must list the authorizing official's name and contact information where appropriate. **Questions or problems:** Applicants who have questions should refer to the online handbook or access applicable help screens. If the questions cannot be addressed by accessing the online GMS reference tools, call the GMS Hotline at 1-888-549-9901. Previous users should contact the GMS Hotline if they are having difficulty with their user ID and password.

Step 4. Complete the online Application for Federal Assistance (SF-424) by providing the required information in the Overview, Applicant Information, and Project Information screens.

Step 5. Complete the application by electronically "accepting" the Assurances and Certifications and submitting the three required file attachments: Budget Detail Worksheet, Program Narrative, and Other Program Attachments. (See the Application Review Checklist on page 3 and the Application Requirements on page 5 for detailed instructions about the information to include in each attachment). Please note that applicants must upload one file per attachment; only the most current file uploaded to the appropriate attachment will be saved as part of the application. All sections of each attachment must be completed for your application to be considered for funding.

Submit your completed application online. The GMS system will notify the applicant that the application has been received and sent to OVC and provide an application identification number for future reference. Applicants who have questions about GMS or need technical assistance with applying online should contact the **GMS Hotline at 1-888-549-9901, Monday through Friday, 7 a.m. to 9 p.m. (except federal holidays).**

Application Requirements

Applicants for FY 2003 Office for Victims of Crime Discretionary Continuation Grants must submit the following information online through the Office of Justice Programs' (OJP's) Grants Management System (GMS):

1. Application for Federal Assistance, Standard Form 424.
2. Assurances and Certifications.
3. Program Attachments:

- Attachment #1: Budget Detail Worksheet (including budget worksheet and budget narrative).

- Attachment #2: Program Narrative (including project abstract, problem statement, project goals and objectives, project design/implementation plan, project management and organizational capability statement, and plans for measuring progress and outcomes).

- Attachment #3: Other Program Attachments (including resumes of key personnel, position descriptions, letters of support, memoranda of understanding, information about the author of the proposal, and other attachments as needed).

Detailed instructions about and descriptions of each required element are provided below. An Application Review Checklist has been provided for your convenience (see page 3). **Note:** Applications that do not include <u>all</u> required elements will not be considered for funding.

Application for Federal Assistance (SF-424)

The Application for Federal Assistance is a standard form used by most federal agencies. It contains 18 items that must be completed online in the Overview, Applicant Information, and Project Information sections of OJP's GMS.

Assurances and Certifications

Applicants are required to review and accept the Assurances and Certifications. Please verify that the name, address, phone number, fax number, and e-mail address of the authorizing official have been entered correctly on these online forms.

- **Assurances.** The applicant must comply with assurances to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

- **Certifications Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters, and the Drug-Free Workplace Requirement.** Applicants are required to review and check off the box on the certification form included in the online application process. This form commits the applicant to comply with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part

67, "A Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants)."

The authorizing official must review the Assurances and Certifications forms in their entirety. To accept the Assurances and Certifications in GMS, click on the Assurances and Certifications link and click the "Accept" button at the bottom of the screen.

Budget Detail Worksheet (Attachment #1)

The applicant must provide a detailed budget that: (1) is complete, allowable, cost-effective in relation to the proposed activities, and accurately reflects how grant funds will be used to accomplish the goals and objectives of the proposal; (2) shows the cost calculations demonstrating how the applicant arrived at the total amount requested; and (3) provides a supporting budget narrative to link costs with project implementation (see below for more about the budget narrative). These federal grant funds must not be used to supplant state or local funds. The federal funds must be used to supplement existing funds for program activities and not to replace funds already appropriated for the same purpose. The total amount of the federal share of the budget must not exceed the amount approved by OVC.

Applicants must submit both a budget worksheet and a budget narrative in one file. The worksheet provides the detailed computations for each budget item, and the narrative justifies or explains each budget item and relates it to project activities.

- **Budget Worksheet.** The budget worksheet must list the cost of each budget item and show how the costs were calculated. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee to be paid through grant funds. The budget worksheet should present a complete and detailed itemization of all proposed costs.

- **Budget Narrative.** The budget narrative should closely follow the content of the budget worksheet and provide justification for all proposed costs. For example, the narrative should explain how fringe benefits were calculated, how travel costs were estimated, why particular items of equipment or supplies must be purchased, and how overhead or indirect costs were calculated. The budget narrative should justify the specific items listed in the budget worksheet (particularly supplies, travel, and equipment) and demonstrate that all costs are reasonable.

Applicants may refer to the sample Budget Detail Worksheet form at OVC's Web site (www.ojp.usdoj.gov/ovc/fund/forms.htm#1) and use it as a guide in preparing the budget worksheet and budget narrative. OJP's Financial Guide, containing information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records, is also available on OJP's Web site (www.ojp.usdoj.gov/oc). This document will govern the administration of funds by all successful applicants and their contractors.

A financial or in-kind match for 25 percent of the total federal grant each year is required only for the State Victim Assistance Academy Initiative. An in-kind match can be in the form of staff

time, facilities, office space and utilities, employee details/loans, and agency partnerships. All in-kind or hard match must be shown on the detail worksheet and described in the budget narrative.

Applicants should plan to attend an annual OVC discretionary grantee meeting in Washington, D.C., and with the exception of local grantees, budget this at an annual cost of $1,200. Applicants that receive annual funding of more than $100,000 should also budget costs to attend one Financial Management Training Seminar sponsored by OJP's Office of the Comptroller (OC), unless the grantee has previously attended this seminar. Specific information (such as dates and locations of upcoming OC events) can be found at www.ncja.org/Seminars/2003_FMS_Seminars/invite.htm.

Note: Total costs specified in the Budget Detail Worksheet must match the total amount requested on the SF 424.

Program Narrative (Attachment #2)

The program narrative should not exceed 25 doubled-spaced pages in 12-point font with 1-inch margins and must include 6 separate sections: Project Abstract, Problem Statement, Project Goals and Objectives, Project Design/Implementation Plan, Organizational Capability and Project Management, and Plans for Measuring Progress and Outcomes. Each section is described below.

2a. Project Abstract: The application should include a 1-page summary that describes the purpose of the project, goals and objectives, progress to date, and activities that will be implemented to achieve the project's goals and objectives, methods, and outcomes.

2b. Problem Statement: The problem statement must describe the need for the project and provide a clear statement of how continuation funding will support the project's value to the victims' field by meeting a stated goal.

2c. Project Goals and Objectives: The applicant must specify the goals and objectives of the project and must describe the accomplishments and document the progress of the existing project. The objectives should be measurable and relate directly to the issues described in the problem statement. The goals should state the overall purpose of what is to be accomplished. The objectives should describe the steps necessary to reach the goals or how the goals will be accomplished. The application should clearly describe how continuation funding will support the overall success of the project.

2d. Project Design/Implementation Plan: The project design and implementation plan must describe the project strategy and discuss how the strategy will address the identified problems and support the goals and objectives. The applicant's strategy or design must include a description of project phases, tasks, activities, staff responsibilities, and clear descriptions of interim deliverables and final products. It must include a time-task plan that clearly identifies objectives, major activities, and products. The time-task plan presented in chart form will not be included as part of the 25-page narrative limitation. Grantees should confer with their OVC grant monitor to determine the award period for the continuation funding.

The applicant must describe

■   The strategy, tasks, and time-task plan for developing the services and products. Applicants must develop a time-task plan that clearly identifies major activities and products for the duration of the project period. This plan must include the designation of organizational responsibility, a schedule for the completion of the activities, and the submission of finished products. In preparing the time-task plan, the Gant chart, or schedule, applicants should make certain that all project activities will occur within the proposed project period. **Applicants should keep in mind the OVC requirement that final drafts of all publications, including videos, are to be submitted 120 days prior to the end of the grant period. In most instances, the draft publication will undergo an external review by subject matter experts retained by OVC to provide written comments on the publication's accuracy, relevance, and readability, and to provide suggestions to enhance the publication. In all instances, the publication will be reviewed internally by OVC and other DOJ agencies.** The plan also must provide for the submission of financial and progress reports. All recipients are required to submit semiannual progress reports and quarterly financial reports. Refer to the current edition of OVC's Publishing Guidelines Handbook online at www.ojp.usdoj.gov/ovc/publications/infores/pubguidehndbk/welcome.html for further guidance on the publication process.

■   The project's intended services and deliverables or products, such as training and technical assistance, training curricula, promising practices compendia, symposia, and videotapes.

■   Coordination of the project with other organizations, including victim services, criminal and juvenile justice systems, and any joint or cooperative efforts.

■   Any unusual features of the project such as design; technological innovations; reductions in cost or time; and extraordinary community, volunteer, or private sector involvement.

■   Procedures for testing and evaluating the service or product or its method for obtaining feedback about its worth to the field.

■   How the project will collect and report data on performance measures established for the project.

■   The dissemination plan for the product or services. Applicants should provide recommendations for dissemination of any products. If those recommendations include nontraditional groups, such as organizations or agencies not likely to be included in a victim assistance or criminal justice mailing list, then applicants should be prepared to provide specific names and contact information. In most instances, publications that have been reviewed, revised by the grantee, and subsequently approved for publication by OVC will be printed by OVC and

disseminated through the OVC Resource Center at the expense of OVC. Most publications also will be uploaded to the OVC Web page.

2e. Organizational Capability and Project Management: Applications must include a clear description of the applicant's management structure and document the organization's success in implementing previous phases of the project. Applicants must include a description of the current and proposed professional staff members' unique qualifications that will enable them to fulfill their grant responsibilities.

Applicants must describe how the program will be managed and include an organizational chart or information describing the roles and responsibilities of key organizational and functional components and personnel. Applicants must also include a list of personnel responsible for managing and implementing the major stages of the project. If additional staff will be hired to complete the project, the applicant should identify the selection criteria. Applicants should also provide detailed information about staff who have committed to work on the project contingent upon receipt of continuation funding.

The project director must have both the substantive expertise and experience to perform crucial leadership functions and sufficient time to devote to the project to provide the needed guidance and supervision. Job descriptions and copies of resumes for proposed key staff positions should be included in attachment #3.

2f. Plans for Measuring Progress and Outcomes: Evaluation is critical to ensure that each OVC project is operating as designed and achieving its goals and objectives. Accordingly, each application must provide a plan to continue to assess the project's effectiveness and to evaluate accomplishment of project goals and objectives. Applicants should describe how they will assess performance in attaining the previously identified outcomes, and additional outcomes identified for the continuation phase of the project. Goals and objectives must be clearly stated, links established between program activities and objectives, and performance measures identified. Performance measures will address a mix of immediate and intermediate outcomes and, as appropriate and feasible, information on long-term impact.

The evaluation plan should identify all resources that will be devoted to conducting the assessment including identification of staff members and staff time, use of outside consultants to assist with the assessment, and any other support costs associated with conducting an evaluation. Assessment information will be submitted as part of the semiannual progress report, as well as part of the final report due within 120 days of project completion.

OVC is required to report its programmatic results annually, in accordance with the Government Performance and Results Act (GPRA). OVC summarizes the individual results and outcomes of all discretionary grant programs, indicating whether the programs are successfully meeting their objectives. OVC depends on its grantees to provide accurate, timely, and relevant information on grant progress and impact. Increasingly, these findings will provide justification for continuing OVC's discretionary grant program.

Other Program Attachments (Attachment #3)

The Other Program Attachments file must include the following materials:

- **Resumes of key personnel** must be provided. For positions that are vacant, provide job descriptions outlining roles and responsibilities and provide the selection criteria for the proposed new positions (required).

- **Letters of support and/or memoranda of understanding (MOU)** should be provided from agencies and organizations whose support and collaboration is integral to the successful implementation of the project (if applicable).

- **Statement of authorship** must be included that clearly identifies the author(s) of the proposal and their professional affiliations (required).

- **Other attachments** as needed (if applicable).

Acceptance Procedure: OVC staff will review applications for completeness and responsiveness to this application guidance. Responsive applications will be forwarded for award processing, subject to the final approval of the OVC Director and OJP's Assistant Attorney General. Continuation funding cannot be awarded to applicants with overdue financial and/or progress reports for existing OJP grants.

Acceptance Criteria: Applications will be reviewed by the OVC grant monitor for the project, using the following criteria:

> *Problem(s) To Be Addressed and Goals and Objectives.* The problem statement must provide a strong rationale for the project and clearly describe how the proposed project will be of value to the victims' field by meeting a stated goal. The goals and objectives must be clearly specified and related directly to the problem statement. The goal(s) should state the overall purpose of what is to be accomplished, within the context of what the project has already accomplished. The objectives should describe the steps necessary to accomplish the goal(s), within the context of what the project has already accomplished.

> *Project Design/Implementation Plan.* The program strategy/methodology must include sufficient detail so that the OVC grant monitor or other reviewers can understand what will be accomplished, how it will be accomplished, and who will accomplish it. All proposed tasks should be presented in a way that allows a reviewer to see the logical progression of tasks and to be able to relate the tasks directly to the accomplishment of the project goals(s) and objectives. Projected activities should be realistic and reflect the project's allocated time, staff, and funding. A clear picture of the contents or components of the product or training is important as well as a detailed plan for packaging and disseminating the product to user groups. Detailed procedures for pilot testing and refining the products should be included, where applicable.

Organizational Capability. Applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve the goals and objectives. The applicant must document its capability to undertake and complete a national-scope, federally funded project, including evidence that the applicant possesses the requisite staff and expertise. Organizational capability will be assessed on the basis of (1) the applicant's described management structure, results of the current grant efforts, and financial capability; and (2) the applicant's project management plan and documentation of the professional staff members' unique qualifications to perform their assigned tasks. Applicants must clearly establish that their experience and resources enable them to achieve the goals and objectives that they propose to accomplish with continuation funding.

Plans for Measuring Progress and Outcomes. Applicants must describe their plan for measuring project progress and success. All applications must contain a plan for evaluating the accomplishment of project goal(s) and objectives. Applicants must describe how the evaluation data will be gathered and analyzed and the resources that are being committed for this purpose. In determining the quality of the evaluation plan, the following factors will be considered:

- Extent to which the evaluation plan provides detailed information for increasing the effectiveness of the management and administration of the project, documents that objectives have been met, and determines the overall effectiveness of the project.

- Extent to which the proposed methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed continuation project.

- Adequacy of the identified performance measures to demonstrate whether, and to what extent, the proposed strategy is meeting its short-term, intermediate, and long-term objectives.

Budget and Budget Narrative. The OVC grant monitor will examine the identified project tasks, milestones, and assignment of staff resources within the framework of the proposed budget. The applicant must demonstrate that there is sufficient staff and time to accomplish the proposed tasks in a cost-effective manner. Applicants must show cost effective and efficient use of grant resources, demonstrating that all grant-related expenses are necessary for project completion. Tasks and activities described in the narrative should parallel the budget. All identified costs should accurately reflect the tasks, staff time, supplies, and travel necessary to accomplish the grant-related work, if applicable.

Reporting Requirements

Reports

The **Financial Status Report** (SF 269-A) is due quarterly, no later than the 45th day following the end of each calendar quarter. A report must be submitted every quarter in which the award is active, even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. Future awards and fund drawdowns will be withheld if the financial status reports are delinquent.

The **Single Audit Report** is an organization-wide financial and compliance audit report that must be filed by recipients who expend $300,000 or more of federal funds during their fiscal year. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards.

The **Semiannual Progress Report** must be submitted by funding recipients. The progress report describes activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. Due 120 days after the end date of the award, the final report summarizes the progress toward achieving the award's goals and objectives, describes the significant results, and identifies any products developed under the award. Report format will be provided to the recipient by OJP. Future awards and fund drawdowns may be withheld if the progress reports are delinquent.

Grants Versus Cooperative Agreements

Projects that previously received funding under a cooperative agreement will receive continuation funding as a cooperative agreement as well. Cooperative agreements are used when substantial collaboration is anticipated between OVC and the award recipient during performance of the proposed activities.

Responsibility for general oversight and redirection of the project, if necessary, rests with OVC. OVC will review and approve all activities in the requirements under the various stages, as enumerated in the solicitation. This includes review and approval in a timely manner of all key personnel selections, consultants, assessments, plans, instruments, manuals, and documents developed or identified for use during the project, with suggestions for modifications. Responsibility for the coordination of topics addressed or services rendered will be shared by OVC and the recipient. Where appropriate, the recipient will act jointly with OVC to determine modifications to the program plan or budget, and design data collection instruments. In executing this responsibility, OVC requires that its program specialist meet periodically with the recipient (as determined by OVC) throughout the life of the project to discuss project activities, plans, problems, and solutions. Responsibility for the day-to-day conduct of the project rests with the recipient. This specifically includes operations, data collection, analysis, and interpretation.