



Office for Victims of Crime

Field-Generated National Impact Projects: Elder Fraud

FY 2001 Application Kit

Due Date: August 7, 2001

**U.S. Department of Justice
Office of Justice Programs
810 Seventh Street, NW.
Washington, DC 20531**

John Ashcroft
Attorney General

**Office of Justice Programs
World Wide Web Home Page**
www.ojp.usdoj.gov

**Office for Victims of Crime
World Wide Web Home Page**
www.ojp.usdoj.gov/ovc/

**For grant and funding information contact:
Department of Justice Response Center
1-800-421-6770**

SL 000486

The Office for Victims of Crime is a component of the Office of Justice Programs, which also includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, and the Office of Juvenile Justice and Delinquency Prevention.

Foreword

The Office for Victims of Crime (OVC) is pleased to announce this Discretionary Program Application Kit for fiscal year 2001, which advertises one open solicitation for proposals to address services for elderly fraud victims. OVC invites applications from public and private not-for-profit organizations to improve victim services in cases involving predatory lending, home solicitation, financial exploitation, telemarketing fraud, and other forms of fraud against the elderly. By advertising the solicitation under its *Field Generated National Impact Projects* program, OVC hopes to generate innovative ideas for responding to this underserved population of victims and to support practitioners who work with them daily. The purpose of the *Field Generated* program is to give the field wide latitude in designing and implementing strategies and to test and refine those strategies in preparation for national dissemination.

Funding for projects awarded in response to this solicitation comes from the Bureau of Justice Assistance (BJA) through an agreement with OVC. BJA and OVC, both part of the Office of Justice Programs (OJP), are partners in serving elderly victims. OVC encourages exploration of the funding opportunities available through other OJP bureaus and offices. For additional information, please visit the OJP Web site at <www.ojp.usdoj.gov>.

Office for Victims of Crime (OVC)
Competitive Discretionary Grant Programs for 2001

Directions for Requesting Information and Application Kits

For specific questions about a particular program, please contact the appropriate Program Manager whose name and telephone number are provided at the end of the solicitation. For general administrative questions regarding application submissions, please call Yvonne Jones at 202-616-3566.

If you or your organization plan to publicize this kit or the solicitation by reproducing OVC information in a journal, periodical, or newsletter, or on the Internet, or in another form of media, please contact the Program Manager to discuss any modifications you wish to make to the program announcement to make it meet your publication's format. Unfortunately, in prior years applicants have relied on incorrect or misleading information published about OVC's discretionary programs, resulting in submissions of grant applications that were not responsive to the solicitation and could not be considered. OVC wishes to avoid this kind of miscommunication problem in the future by working closely with those who wish to reproduce OVC solicitation and kit information for publicity.

To request additional application kits or forms, call the OVC Resource Center at 1-800-627-6872, the OVC Reply Line at 202-616-1926 (TTY 202-514-7863), or write to the Office for Victims of Crime, 810 7th Street, NW., Washington, DC 20531-0001. In addition, the application kit may be downloaded from OVC's Web site at <www.ojp.usdoj.gov/ovc/>.

Office for Victims of Crime (OVC)
Competitive Discretionary Grant Program 2001

Application Checklist

Use this checklist to ensure that your application is complete. Failure to include any of the following items may result in disqualification. All forms, assurances, and lists of contacts are provided in the pages that follow.

- G Complete and sign the Standard Form (SF 424), Application for Federal Assistance.
- G See item 10 on the (SF 424). The Catalog of Federal Domestic Assistance number is **16.582** for the Victims of Crime Discretionary Grant Program.
- G Complete the Budget Detail Work Sheet (including any necessary narrative).
- G Sign the Assurances.
- G Attach the Civil Rights Information sheets.
- G Complete and sign the Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements. These forms must be included with the Application.
- G Include a list of current federally funded efforts, if applicable.
- G Include the program abstract.
- G Be sure the program narrative addresses the items requested in “**Instructions for Application Narrative.**”
- G If you are a nonprofit organization and have not received federal funds from the Office of Justice Programs in the past, complete OJP Form 7120, Accounting System and Financial Capability Questionnaire.
- G Print the Application on one side of 8½ by 11-inch paper.
- G Limit the program narrative section to 30 double-spaced pages using no less than 12-point standard type. The 30-page limit does not include the abstract, forms, and appendixes.
- G Include position descriptions, staff qualifications, and individual resumes as appendixes or attachments to the program narrative.
- G Submit the completed grant application with original signatures and **two additional** copies. Please do not bind, coil bind, or staple the applications.
- G Applications sent via the U.S. Postal Service (USPS) must be received by the deadline date, Tuesday, August 7, 2001. Applications that are postmarked but not received by the deadline date will not be accepted.
- G Hand-carried applications and applications sent via private carriers, such as United Parcel Service (UPS) and Federal Express (FedEx), must be received by the OJP Mailroom, Lower Level, 810 7th Street, NW., Washington, DC 20531-0001 (tel. 202-307-5881), not later than 5:30 p.m. eastern time, Tuesday, August 7, 2001.
- G **NOTE:** Federal Express uses a different ZIP Code. Address applications sent via FedEx to OVC, 810 7th Street, NW., OJP Mailroom on Lower Level, Washington, DC 20001.

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General Information

Introduction to OVC

The Office for Victims of Crime (OVC) was created by the Victims of Crime Act of 1984 (VOCA) to improve our nation's response to crime victims. OVC is one of five bureaus and six program offices within the Office of Justice Programs (OJP) and works closely with these components to support programs that benefit crime victims.

OVC performs many tasks, including administering formula grant programs that support a network of victim assistance and compensation services; managing discretionary grants for training, technical assistance, and demonstration programs to benefit crime victims; supporting a national information clearinghouse and a national training and technical assistance center; and creating direct service programs for victims of Federal crimes.

An intra-agency transfer from another bureau within OJP, the Bureau of Justice Assistance (BJA), made the funds for this program available. BJA administers activities authorized under Title XXV, Section 250005(3) of the Violent Crime Control and Law Enforcement Act of 1994, which authorizes using funding to support training, technical assistance, and preparation and dissemination of informational materials on awareness and prevention of fraud against citizens.

Application Process

This application kit provides the necessary information and guidance to prepare and submit an application for an OVC discretionary program award. **Section I** of the application kit contains a solicitation for a competitive program. **Section II** contains general application requirements and includes required application forms. To receive additional application kits, call the OVC Resource Center at 1-800-627-6872, or call the OVC Reply Line at 202-616-1926, or write to the Office for Victims of Crime, 810 7th Street, NW., Washington, DC 20531-0001. Also, you may download the application kit from OVC's Web site at <www.ojp.usdoj.gov/ovc/>.

Due Date and Application Submission

Address applications to the Office for Victims of Crime, 810 7th Street, NW., Washington, DC 20531-0001. **Note: Federal Express uses a different ZIP Code** than the U.S. Postal Service. For applications sent by FedEx, use ZIP Code 20001.

Applications must be received by Tuesday, August 7, 2001. Applications that are postmarked but not received by that date will not be accepted. Applications that are hand-carried or sent via private carrier such as United Postal Service (UPS) and Federal Express (FedEx) must be

received in the OJP Mailroom on Lower Level of 810 7th Street, NW., Washington, DC 20531-0001 (tel. 202-307-5881) not later than 5:30 p.m. eastern time, Tuesday, August 7, 2001.

- Note:**
- **OVC will not grant extensions of the due date.**
 - **OVC does not accept Faxed submissions.**

Eligibility Requirements

Applications are invited from public agencies, including colleges, universities, and private, nonprofit organizations. Applicants must demonstrate that they have expertise and prior experience and will be able to successfully complete the project for which they are applying. The program announcement in this kit lists additional eligibility requirements specific to the goals of the particular program.

Applicants who have administrative questions about grant application requirements or who need assistance in completing this form may contact Diane Wells, Administrative Officer, by telephone at 202-616-1860 or by e-mail at <Diane@ojp.usdoj.gov>, or they may contact Yvonne Jones by telephone at 202-616-3566 or by e-mail at <YvonneJ@ojp.usdoj.gov>. Applicants with substantive questions about an announcement's specific requirements may contact the Program Manager whose name and contact information are listed at the end of the solicitation.

Section I. Program Announcement

Field-Generated National Impact Projects (Cooperative Agreements)

Award Amount. \$600,000 will support projects up to \$200,000 each. Funds are authorized under Title XXV, Section 250005(3) of the Violent Crime Control Law Enforcement Act.

Award Period. 12-24 months.

Goal. To enhance the capacity of practitioners to respond effectively to elderly crime victims' needs and rights by developing basic and advanced information, training, and technical assistance.

Purpose. To provide funding support for projects that address an area of ongoing or emerging need, that are national in scope or will have a national impact, and that provide products or materials that can be easily adapted and disseminated to practitioners in the field. Proposals must be congruent with the program's funding authority to support prevention, training, technical assistance, and demonstration projects that improve the response to and service for elderly victims of fraud.

Background. In previous years, OVC invited proposals under open solicitations such as the Field-Generated National Impact Projects initiative, telemarketing fraud, and the Concept Paper program to generate projects that provide training, technical assistance, and information that can be packaged and made available to volunteers and professionals who work with crime victims. These field-driven projects have been among our most effective mechanisms for providing training and improving services.

The U.S. Census Bureau projects that between 1995 and 2020 the older population in the United States will increase approximately 58.7 percent for the 65+ age group and 78.1 percent for the 85+ age group. Many states will have increases well beyond those projections. Presently, elder abuse is at an alarming level. The tremendous projected increase in the elderly population will increase the rate of abuse in that population. Many crimes, such as financial fraud and physical abuse, have a more severe impact on the elderly than on those who are younger. Financially, older people have little or no time to recoup their losses. The following types of crimes against the elderly are of particular interest to OVC and BJA and may be funded under this initiative.

Program Strategy

Areas to Address. This solicitation is designed to give the field latitude in proposing innovative projects to build practitioner skills and to improve services for **elderly fraud**

victims. This year, OVC is seeking innovative proposals to **address victim services** in cases involving

- R Predatory lending.
- R Home solicitation.
- R Financial exploitation.
- R Telemarketing fraud.
- R Other forms of fraud against the elderly not otherwise covered by the above categories.

Phases. OVC encourages submission of project proposals that incorporate the following four program phases:

Phase 1 - Assessment. The purpose of the assessment phase is to ensure that the services and materials produced by the grantee are comprehensive and include the most up-to-date and relevant information.

Phase 2 - Development of Services and Materials. Describe the services and/or materials in detail and state clearly the strategies, approaches, and tasks involved in their development. Services and materials should be replicable on a national level. Listed below are some examples of the kinds of activities that can be funded. The list is not comprehensive or exhaustive. The activities that applicants propose will vary.

- R A symposium on emerging issues or promising practices in one of the given subject areas designed to identify topics for more focused action by the field and OVC.
- R A training program for trainers and practitioners.
- R A publication of promising practices.
- R One or a series of training videotapes with an instructional booklet for use by a trainer as a training aid.
- R Innovative applications of technology such as interactive training materials.
- R Demonstration projects built on existing innovative programs that can serve as laboratories to produce information to enable others to replicate promising approaches.

Phase 3 - Pilot Testing of Materials. All training and technical assistance materials must be pilot tested and subsequently revised based on findings from the testing process. Applicants must include plans for testing products.

Phase 4 - Dissemination Process. Describe procedures for informing potential users and for announcing the availability of services, training materials, or on-site technical assistance opportunities.

Eligibility Requirements. OVC invites applications from public and private not-for-profit agencies and organizations. Applicants must demonstrate that they have the expertise and prior experience to successfully complete the project for which they are applying. OVC will not consider proposals for projects that have very narrow or limited applicability to the field. OVC will not consider proposals that seek operational funds to support activities.

Application Due Date. Tuesday, August 7, 2001.

Contact Person. Duane Ragan, Ph.D.
Telephone at 202-307-2021 or e-mail at <Duane@ojp.usdoj.gov>.

Section II. Application Kit

Instructions for Application Narrative

Program Abstract. Each application must include a program abstract that highlights the purposes, goals, methods, and anticipated benefits of the proposed project. The abstract should not exceed one side of one double-spaced, 8½ by 11-inch page.

Program Narrative

Submission Requirements. To justify and describe the proposed program, each applicant must submit a program narrative that **may not exceed 30 pages and must be submitted on one side only of 8½ by 11-inch paper using double spacing, a minimum of 1-inch margins on all four sides, and a type no smaller than standard 12-point.** Single-spaced and 1½-spaced narratives will not be accepted. The 30-page narrative limit does not include forms, the abstract, and appendixes.

Position descriptions, qualifications, and individual resumes may be submitted as appendixes, but OVC strongly discourages numerous and lengthy appendixes and attachments not directly related to the project. OVC is unable to copy videotapes and long publications sent as examples of the applicant's work. Consequently, peer reviewers will not receive these attachments as part of the review process. Do not bind or staple applications.

Required Elements. The program narrative must address the following:

Program Goals. Applicants should use the goals stated in the specific solicitation as the basis for a succinct and clear statement of how their proposed program will be of value to the victims' field by meeting a stated goal. For example, if the solicitation states as its goal, "To increase and enhance services provided by prosecutors to crime victims," then the applicant should briefly explain how their particular proposal will achieve that goal.

Program Strategy/Methodology and Implementation Plan. The program strategy/methodology must include sufficient detail so the reader can understand what will be accomplished, how it will be accomplished, and who will accomplish it. The applicant must describe the following:

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

- R The strategy, tasks, and time-task line for developing the services and products.

R How the project will be coordinated with other organizations, including victim services, criminal and juvenile justice systems, and any joint or cooperative efforts.

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

R Procedures for testing and evaluating the service or product or procedures for obtaining feedback about their worth to the field.

R The dissemination plan for the product or services.

Substantive Presentation. 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 goal(s). 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 is a detailed plan for packaging and disseminating the product to user groups. In the past, reviewers have given higher scores to applications that describe how they will introduce the products to the field and encourage their use than to applications without this information. Detailed procedures for pilot testing and refining the products have also resulted in more competitive applications.

Demonstrate Cost-effectiveness. 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 (if applicable) travel necessary to accomplish the grant-related work.

Organizational Capability, Program Management, and Staffing Plan. Applicants must demonstrate how their resources, capabilities, and experience will enable them to achieve the goals and accomplish the tasks of the program for which they are applying. Applications should include a clear description of the applicant's management structure and previous experience with similar or related efforts. Applicants should include a description of the proposed professional staff members' unique qualifications that will enable them to fulfill their grant responsibilities.

Applicants should describe how the program will be managed and include an organizational chart 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, including detailed position descriptions, qualifications, and selection criteria for each position. If additional staff will be hired to complete the project, the applicant should identify selection criteria. Applicants should also provide detailed information about staff who have committed to work on the project contingent upon receipt of funding.

The proposed 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. In addition to these items, the applicant may add, as attachments or appendices, resumes or other information that qualify the staff to work on the project.

Time-Task Plan. 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 and a schedule for the completion of the activities and the submission of finished products. In preparing the time-task plan, the Grant chart, or schedule, applicants should make certain that all project activities, including reproduction of project products and their initial dissemination, 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. The plan must also provide for the submission of written progress reports. All recipients are required to submit semiannual progress reports.

Program Budget. The applicant will enter budgeted items and their costs on a budget detail worksheet with thorough justification for all costs, including the basis for computing the costs. The budget must be complete, reasonable, and directly related to the activities proposed in the application. The Budget Detail Worksheet is located in the Forms Appendix of the application kit. Applicants must justify the costs of individual items, such as personnel and travel, showing how the costs were computed. Also, a Budget Narrative that justifies all costs must also be included. In addition, applications containing contracts must include detailed budgets for each organization's expenses. Applicants should plan to attend an OVC discretionary grantee meeting and, with the exception of local grantees, budget this at an annual cost of \$1,000. OVC's VOCA funds cannot be used to cover construction costs, prevention activities, or costs relating to offender rehabilitation or counseling.

Dissemination Plan. 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.

A Plan for Measuring Progress and Outcome (Evaluation). Each application must provide a plan for assessing the project's effectiveness. All applications must contain a plan for evaluating the accomplishment of project objectives. Applicants should describe the criteria and units of measurement used to evaluate the project's effectiveness, such as number of individuals trained, positive changes that trainees have made as a result of the training (new policies, protocols), new capacities or improved responses to victims resulting from the training, the number and type of agencies that received technical assistance, the number and type of products disseminated, user satisfaction data, and the cost effectiveness of the project. The evaluation should include, at a minimum, the units of service provided; the number of

individuals trained; a list of training participants; how training affected program development and implementation; cost per unit of training; the number of agencies that were provided technical assistance; the number and type of products disseminated; the target audience; user satisfaction; cost effectiveness of the program, service, or product; and the benefit to the field. In the plan for assessing the program, include information about how well the program, service, or product worked, the unanticipated benefits that resulted, and the plan for assessing the program. For technical assistance projects, applicants should develop a mechanism for gathering feedback from both users and providers of the technical assistance. The OVC project specialist is available to offer guidance to grantees on performance measures once an award has been made.

Applicants should include plans to capture both outcome data and information on long-term change as a result of the proposed project. Applicants should identify challenging, but achievable, outcomes in their proposals and describe how they plan to assess performance in attaining the identified outcomes. The applicant should identify staff members responsible for completing the assessment. Assessment information may be submitted as part of the semiannual progress report, but must be submitted as part of the final report that is due within 120 days of project completion.

OVC submits this evaluation information 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 successful. These findings help provide justification for continuing OVC's discretionary grant program.

Selection Procedure

The OVC staff reviews applications for completeness and basic responsiveness to the individual solicitation. Responsive applications will be forwarded to peer review panels of individuals with expertise in the respective topic areas. The peer review panelists will score each application using specific selection criteria. The peer review panel will then, as a group, generate an average score and rank for each application and make recommendations for awards to the Acting Director of OVC and the Acting Assistant Attorney General for Justice Programs. Final selection will be based on the scoring system and other considerations like previous performance on Federal grants. The Acting Assistant Attorney General for Justice Programs has the ultimate authority to select applications for funding.

Selection Criteria

Applications for each program described in **Section I** will be evaluated and rated based on the extent to which the program meets the following selection criteria.

Project Strategy/Design (40 points). This criterion addresses how well the project design supports the purpose and goals of the grant program. The applicant's strategy or design must

include clear descriptions of project phases, tasks, activities, and interim deliverables and final products. The applicant's strategy or design must include a time-task plan that clearly identifies major activities and products. The project design will also be examined to determine how well the project/program can be accessed by diverse and underserved victims.

Implementation Plan and Budget (20 points). This criterion measures how well the program will be managed. Reviewers will examine the identified project tasks, milestones, and assignment of staff resources within the framework of the proposed time-task line. The applicant must demonstrate that there are sufficient staff and time to accomplish the proposed tasks in a cost-effective manner.

The applicant must explain how budget items are computed and why they are vital to the project, clearly relating the items to identified tasks described in the narrative. For example, if the applicant has planned an extensive survey, the budget should reflect the staff time necessary to identify the sample, make followup calls, and conduct other activities to collect information. If an applicant proposes distributing a large number of training manuals, the budget should allocate sufficient funds for printing the documents needed for pilot testing and postage. Applicants should not include items that are not fully necessary to the project such as a computer for developing a small, printed product like brochures.

Organizational Capability (30 points). Points will be awarded based on the applicant's stated 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, previous experience with similar or related efforts, and financial capability (15 points), and (2) the applicant's project management plan and documentation of the professional staff members' unique qualifications to perform their assigned tasks (15 points). Applicants must clearly establish that their experience and resources enable them to achieve the goals and objectives of the grant for which they are applying.

Program Evaluation (10 points). This criterion assigns points to the applicant's plan for measuring the program's success. All applications must contain a plan for evaluating the accomplishment of project objectives. Applicants must describe how the evaluation data will be gathered and analyzed.

Quality of Previous Performance

Prior to making final selections for funding specific applicants, the Acting Director of OVC and the Acting Assistant Attorney General for Justice Programs will consider information about the performance of the applicants on previous grants awarded by OVC, OJP, or other Federal agencies. Emphasis will be placed on the delivery of complete, responsive products that produced tangible benefits. Applicants who failed to meet grant deadlines, did not comply with

OJP financial requirements, or did not adjust to difficulties by setting revised time-task lines will not be favorably considered for funding.

Administrative Requirements

Assurances. This package includes a list of assurances that the applicant must comply with 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.

Supplanting Prohibition. Federal funds must be used to supplement existing funds for program activities and may not replace (supplant) non-Federal funds that have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and auditing. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of moneys provided under this grant, and civil and/or criminal penalties.

Purchase of American-Made Equipment and Products. Congress conveyed through the fiscal year 1997 Appropriation Act that, to the greatest extent practicable, all equipment and products purchased with grant funds should be American made.

Human Subject Research and Confidentiality Compliance. Generally, OVC does not conduct research. However, for information about research conducted with Federal funds, applicants for discretionary funds should refer to 28 CFR Part 22 and Part 46 regarding the confidentiality of personally identifiable information and human subject research, respectively. Applicants should review their activities in light of the terms and definitions contained in these parts. Please contact Olga R. Trujillo, OVC's Human Subject Protection Officer at 202-307-5983 if you believe 28 CFR Parts 22 and/or 46 apply to the proposed funded activities.

National Environmental Policy Act (NEPA) Compliance. All Federal grant funds recipients are required to assist the sponsoring Federal agency to comply with the National Environmental Policy Act (NEPA) and with other related Federal environmental impact analysis requirements. Victims of Crime Act funds may not be used for construction costs; however, grantees may be planning building construction or renovations with its funds or moneys from third parties that relate to the use of the requested funds from OVC. In submitting an application for funding, applicants understand and agree that the assistance they may have to provide includes submitting specific information about any site proposed for construction or renovation and any activities subject to an environmental impact review. OVC and OJP will work with an applicant to meet all assessment requirements. To accomplish this, the applicant should be required to inform OVC if the applicant must perform for any of its proposed activities an environmental impact analysis under a state or local requirement, or if a Federal agency is conducting an environment impact analysis. Additionally, if the applicant is anticipating any related new construction, renovation, or remodeling of a property that (1) is listed on or eligible for listing on the National Register of

Historic Places; (2) is located within a 100-year flood plain; or (3) would undergo a change in its basic prior use or a significant change in size, then the applicant should contact Diane Wells, OVC's NEPA Coordinator (202-616-1860 or e-mail <Diane@ojp.usdoj.gov>), to determine what additional information OVC requires.

Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements. The applicant must agree to the Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements forms. The applicant must agree to comply with the following requirements:

Lobbying. The applicant and its subgrantees, contractors, and subcontractors will not use Federal funds for lobbying and will disclose any lobbying activities.

Debarment. The applicant and its principals have not been debarred or suspended from Federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification, destruction of records, making false statements, or receiving stolen property; and, have not had a public transaction terminated for cause or default.

Drug-Free Workplace. The applicant will or will continue to provide a drug-free workplace. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR Part 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact on which the U.S. Department of Justice will rely in making awards.

Civil Rights Compliance. All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. If a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs. To understand applicable legal and administrative requirements, all applicants should consult the Assurances contained in the appendix.

Program Access. OVC is committed to ensuring the **equal** access of diverse and underserved populations to the criminal justice system and victim services. "Underserved" victims may be described in many ways— by the type of crime committed; by age; by level of English proficiency; by disability status; by sexual orientation; by national origin or ethnicity; by race; or by the location of the residence (inner city, rural, or remote area). OVC requires discretionary funds applicants to take into consideration victims' demographic characteristics and design project proposals that are responsive to existing needs.

The following are examples of activities that could be used to identify and appropriately serve the needs of diverse victims:

- R Assessment of the diverse needs, resources, and assets of the community to be served.
- R Development and implementation of mechanisms for community involvement in the design and execution of the project.
- R Recruitment and training of qualified, diverse, and culturally competent project staff who can address the needs of the communities being served.
- R Promotion of attitudes, behaviors, knowledge, and skills necessary for project staff to work respectfully and effectively with diverse crime victims, each other, and the surrounding community.
- R Ongoing cultural competence education and training for all project staff.
- R Ongoing organizational self-assessments of cultural competence; measurements of access, satisfaction, and quality as part of project process; and outcome evaluations.
- R Development and implementation of procedures to resolve complaints or grievances by clients and staff about unfair, culturally insensitive, or discriminatory treatment; difficulty in accessing services; or denial of services.

Publication Information. Applicants should note that final drafts of all publications developed under grant funding must be submitted to OVC 120 days prior to the end of their grant period. This allows OVC time to submit the publication to an internal review, an external review, and a review by other Department of Justice components. If the grantee fails to provide final drafts within this time period, OVC will issue no-cost extensions to the grant period; no additional funds will be made available to the grantee if OVC requires the grantee to make substantive changes to the publication.

Final publications will be printed by OVC. Only a small printing budget will be approved for grantees who develop materials that must be “pilot tested” prior to the completion of the grant. Applicants should build the 120 days publication review period deadline into their grant time-task lines.

In cases where grantees disseminate their findings through a variety of media, such as books, professional journals, and conferences, the grantee should send copies of such publications to the Program Specialist as they become available, even if they appear well after a project expires.

OVC imposes no restriction on these types of publications and their dissemination other than the following mandatory acknowledgment and disclaimer on the product:

This project publication was supported by grant number _____ from the Office for Victims of Crime. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Note: OVC is developing the *OVC Grantee Publication Guidelines* to guide grantees as they develop products for publication through OVC's discretionary grant program. OVC expects the guide to be available July 2001 on OVC's Web site at <www.ojp.usdoj.gov/ovc/fund/dakit.htm> or call OVC at 202-307-5983.

Grants Versus Cooperative Agreements. For certain solicitations, OVC chooses to award cooperative agreements instead of grants. Cooperative agreements are used when substantial collaboration is anticipated between OVC and the award recipient during performance of the proposed activities. For example, OVC's involvement might include participating as advisory group members, identifying and recommending resources to support project goals and objectives, and editing draft materials.

Grantee Responsibilities. Award recipients and project directors assume certain responsibilities as part of their participation in Government-sponsored grant programs. Designed to help grantees meet these responsibilities, OVC's monitoring activities are based on good communication and open dialogue conducted amicably with mutual respect. Some elements of this dialogue are

- R Frequent, open communication with OVC in the early stages of the grant as the project design develops and becomes operational.
- R Timely communication with OVC regarding developments that might affect the project's compliance with schedules, activities, and products set forth in the proposal.
- R Communication with other OVC grantees who are conducting related training, technical assistance, and demonstration projects. The applicant should anticipate either a postaward meeting with the OVC program monitor or an OVC meeting for discretionary grantees. For these meeting costs, applicants outside the Washington, DC, metropolitan area should budget \$1,000 for each year of the grant.
- R Compliance with OVC requests for brief descriptions of the project and its activities whenever OVC needs such information to report to Congress. OVC will provide as much advance notification of these requests as possible, but will expect a timely response from grantees. OVC will accept such requested information through electronic media.
- R Provision of project information to OVC at conferences, meetings, and elsewhere.

R Provide OVC prepublication copies of articles; provide OVC notice of interviews based on the project that will appear in print or other media, either during or after the life of the grant.

R Meet OVC staff and present up-to-date reports on project activities. If this is anticipated, include relevant travel costs in the budget.

Grantees are expected to complete award products within the timeframes agreed upon by OVC and the grantee. OVC recognizes legitimate reasons for project extensions. However, OVC does not consider legitimate time delays that occur because the grantee assumed additional projects that impinge upon previously committed time. Any grantee who anticipates a delay must contact the assigned OVC Program Specialist to negotiate a new due date. The grantee must submit a revised time-task line for the extended project. Projects with unreasonable delays may be terminated administratively, which may result in withdrawal of any remaining funds from the grantee. Thereafter, applications for funds from the project director or the recipient institution will be subject to strict scrutiny and may be denied based on past failure to meet minimum standards.

Reporting Requirements

Reports

Financial Status Report (SF 269-A). 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.

Single Audit Report. 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.

Semiannual Progress Report. Must be submitted by recipients of funding. 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. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, the significant results, and any products developed under the award, is due 120 days after the end date of the award. Report format will be provided to the recipient by the Office of Justice Programs. Future awards and fund drawdowns may be withheld if the progress reports are delinquent.

Suspension or Termination of Funding

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- R** Failure to comply substantially with the requirements or statutory objectives of the Victims of Crime Act of 1984, as amended, or other provisions of Federal law.
- R** Failure to make satisfactory progress toward the goals and strategies set forth in this application.
- R** Failure to adhere to the agreement's requirements, standard conditions, and special conditions.
- R** Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- R** Filing a false certification in this application or other report or document.
- R** Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 29 CFR Part 18.

Forms Appendix

Application for Federal Assistance (SF 424 form)

Instructions for Completion of the Application for Federal Assistance (SF 424)

Sample SF 424 form

Budget Detail Worksheet Form

Sample Budget Detail Worksheet Form

Assurances form

Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

Disclosure Form to Report Lobbying

Single Audit Act Information (Required only for recipients who expend \$300,000 or more of Federal funds during the fiscal year.)

Civil Rights Information

Accounting System and Financial Capability Questionnaire (Required of nonprofit organizations that have not received Office of Justice Programs funds in the past.)

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED Applicant Identifier
		3. DATE RECEIVED BY STATE State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> - <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div>	7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): _____
---	---

8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____	9. NAME OF FEDERAL AGENCY: _____
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10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div>	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: _____
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): _____	

13. PROPOSED PROJECT: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black;">Start Date</td> <td style="width:50%; border-bottom: 1px solid black;">Ending Date</td> </tr> </table>	Start Date	Ending Date	14. CONGRESSIONAL DISTRICTS OF: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black;">a. Applicant</td> <td style="width:50%; border-bottom: 1px solid black;">b. Project</td> </tr> </table>	a. Applicant	b. Project
Start Date	Ending Date				
a. Applicant	b. Project				

15. ESTIMATED FUNDING: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; border-bottom: 1px solid black;">a. Federal</td> <td style="width:15%; border-bottom: 1px solid black;">\$</td> <td style="width:15%; border-bottom: 1px solid black;"></td> <td style="width:15%; border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">b. Applicant</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">c. State</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">d. Local</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">e. Other</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">f. Program Income</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">g. TOTAL</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> </table>	a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$.00																										
b. Applicant	\$.00																										
c. State	\$.00																										
d. Local	\$.00																										
e. Other	\$.00																										
f. Program Income	\$.00																										
g. TOTAL	\$.00																										
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																													

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative	e. Date Signed	

Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	Type of Submission: If this proposal is not for construction or building purposes, check “Non-Construction”.
2	Date Submitted: Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any. If your jurisdiction does not assign an identifier number, leave this space blank.
3	Date Received by State: Leave blank. This block is completed by the State single point of contact, if applicable.
4	Date Received by Federal Agency: This item will be completed by OJP.
5	Applicant Information: The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact, and include their telephone number.
6	Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	Type of Applicant: Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	Type of Application: Check either “new” or “continuation”. Check new if this will be your first award for this purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, that was begun under a prior award.
9	Name of Federal Agency: Type in the name of the awarding agency, such as “Bureau of Justice Assistance”.
10	Catalog of Federal Domestic Assistance Number: This would be contained in the program announcement. An example would be 16,____.
11	Descriptive Title of Applicants Project: Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U. S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex: 10/1/95 - 9/30/96.
12	Areas Affected by Project: Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	Proposed Project Dates: Fill in the proposed begin and end dates of the project.
14	Congressional Districts: Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	Estimated Funding: In line “a,” enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will available to the project and the source of those funds on lines “b-f,” as appropriate.
16	State Executive Order 12372: Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application.
17	Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	Authorized Representative: Type the name of the person legally authorized to enter into agreements on behalf of your agency. This signature on the original application must be signed in blue ink and/or stamped as “original” to help identify the original.

**APPLICATION FOR
FEDERAL ASSISTANCE**

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED 09/01/99		Applicant Identifier	
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE		State Application Identifier	
		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION					
Legal Name: Juvenile Justice Center			Organizational Unit:		
Address (give city, county, State, and zip code): 7200 Lynn Street Arlington, VA 22201 (Arlington County)			Name and telephone number of person to be contacted on matters involving this application (give area code) Thomas James (703) 555-1256		
6. EMPLOYER IDENTIFICATION NUMBER (EIN): CO - 9876543			7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>		
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other(specify): _____			A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) _____		
			9. NAME OF FEDERAL AGENCY: Office of Juvenile Justice and Delinquency Prevention		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: National Institute for Juvenile Justice and Delinquency Prevention TITLE: 16 - 542			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Project To Expand and Improve Juvenile Restitution Program		
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Arlington, VA			10/01/00-09/30/01		
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:			
Start Date 10/01/00	Ending Date 09/30/01	a. Applicant 19		b. Project 19	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?			
a. Federal	\$ 100,000	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____			
b. Applicant	\$.00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
c. State	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No			
d. Local	\$.00				
e. Other	\$.00				
f. Program Income	\$.00				
g. TOTAL	\$ 100,000				
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Type Name of Authorized Representative Morgan Tyler		b. Title Executive Director		c. Telephone Number (703) 555-3478	
d. Signature of Authorized Representative				e. Date Signed 09/01/99	

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
		TOTAL _____
		Total Personnel & Fringe Benefits _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
-------------------	----------	------	-------------	------

TOTAL _____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
------	-------------	------

TOTAL _____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		TOTAL _____

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
--------------------	------------------	-------------	------

Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
------	----------	-------------	------

Subtotal _____

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

Subtotal _____

TOTAL _____

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		TOTAL _____

I. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		TOTAL _____

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	
TOTAL PROJECT COSTS	_____
Federal Request	_____
Non-Federal Amount	_____

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
<i>John Smith, Investigator</i>	<i>(\$50,000 x 100%)</i>	<i>\$50,000</i>
<i>2 Investigators</i>	<i>(\$50,000 x 100% x 2)</i>	<i>\$100,000</i>
<i>Secretary</i>	<i>(\$30,000 x 50%)</i>	<i>\$15,000</i>
<i>Cost of living increase</i>	<i>(\$165,000 x 2% x .5 yr.)</i>	<i>\$1,650</i>
<i>Overtime per investigator</i>	<i>(\$37.50/hr. x 100 hrs. x 3)</i>	<i>\$11,250</i>

The three investigators will be assigned exclusively to homicide investigations. A 2% cost of living adjustment is scheduled for all full-time personnel 6 months prior to the end of the grant. Overtime will be needed during some investigations. A half-time secretary will prepare reports and provide other support to the unit.

TOTAL \$177,900

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
<i>Employer's FICA</i>	<i>(\$177,900 x 7.65%)</i>	<i>\$13,609</i>
<i>Retirement</i>	<i>*(\$166,650 x 6%)</i>	<i>\$9,999</i>
<i>Uniform Allowance</i>	<i>(\$50/mo. x 12 mo. x 3)</i>	<i>\$1,800</i>
<i>Health Insurance</i>	<i>*(\$166,650 x 12%)</i>	<i>\$19,998</i>
<i>Workman's Compensation</i>	<i>(\$177,900 x 1%)</i>	<i>\$1,779</i>
<i>Unemployment Compensation</i>	<i>(\$177,900 x 1%)</i>	<i>\$1,779</i>
<i>*(\$177,900 less \$11,250)</i>		

TOTAL \$48,964

Total Personnel & Fringe Benefits \$226,864

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
Training	Boston	Airfare	(\$150 x 2 people x 2 trips)	\$600
		Hotel	(\$75/night x 2 x 2 people x 2 trips)	\$600
		Meals	(\$35/day x 3 days x 2 people x 2 trips)	\$420
Investigations	New York City	Airfare	(\$600 average x 7)	\$4,200
		Hotel and Meals	(\$100/day average x 7 x 3 days)	\$2,100

Two of the investigators will attend training on forensic evidence gathering in Boston in October and January. The investigators may take up to seven trips to New York City to follow up investigative leads. Travel estimates are based on applicant's formal written travel policy.

TOTAL \$7,920

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
3 - 486 Computer w/CD ROM	(\$2,000 x 3)	\$6,000
Video Camera	\$1,000	\$1,000

The computers will be used by the investigators to analyze case and intelligence information. The camera will be used for investigative and crime scene work.

TOTAL \$7,000

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
<i>Office Supplies</i>	<i>(\$50/mo. x 12 mo.)</i>	<i>\$600</i>
<i>Postage</i>	<i>(\$20/mo. x 12 mo.)</i>	<i>\$240</i>
<i>Training Materials</i>	<i>(\$2/set x 500 sets)</i>	<i>\$1,000</i>
<i>Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.</i>		
		TOTAL <u>\$1,840</u>

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
<i>Renovation</i>	<i>Add walls</i>	<i>\$5,000</i>
	<i>Build work tables</i>	<i>\$3,000</i>
	<i>Build evidence storage units</i>	<i>\$2,000</i>
<i>The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.</i>		
		TOTAL <u>\$10,000</u>

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
<i>John Doe</i>	<i>Forensic Specialist</i>	<i>(\$150/day x 30 days)</i>	<i>\$4,500</i>
<i>John Doe, Forensic Specialist, will be hired, as needed, to assist with the analysis of evidence in homicide cases.</i>			
			<i>Subtotal <u>\$4,500</u></i>

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
<i>Airfare</i>	<i>Miami</i>	<i>(\$400 x 6 trips)</i>	<i>\$2,400</i>
<i>Hotel and Meals</i>		<i>(\$100/day x 30 days)</i>	<i>\$3,000</i>
<i>John Doe is expected to make up to 6 trips to Miami to consult on homicide cases.</i>			
			<i>Subtotal <u>\$5,400</u></i>

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
<i>Intelligence System Development</i>	<i>\$102,000</i>
<i>The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached. Procurement Policy is based on the Federal Acquisition Regulation.</i>	
<i>Subtotal <u>\$102,000</u></i>	
TOTAL <u>\$111,900</u>	

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
<i>Rent</i>	<i>(700 sq. ft. x \$15/sq. ft.) (\$875/mo. x 12 mo.)</i>	<i>\$10,500</i>
<i>This rent will pay for space for the new homicide unit. No space is currently available in city-owned buildings.</i>		
<i>Telephone</i>	<i>(\$100/mo. x 12 mo.)</i>	<i>\$1,200</i>
<i>Printing/Reproduction</i>	<i>(\$150/mo. x 12 mo.)</i>	<i>\$1,800</i>
		TOTAL <u>\$13,500</u>

SAMPLE

I. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
<i>10% of personnel and fringe benefits</i>	<i>(\$226,864 x 10%)</i>	<i>\$22,686</i>
<i>The indirect cost rate was approved by the Department of Transportation, the applicant's cognizant Federal agency, on January 1, 1994. (A copy of the fully executed, negotiated agreement is attached.)</i>		
		TOTAL <u>\$22,686</u>

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	<i>\$177,900</i>
B. Fringe Benefits	<i>\$48,964</i>
C. Travel	<i>\$7,920</i>
D. Equipment	<i>\$7,000</i>
E. Supplies	<i>\$1,840</i>
F. Construction	<i>\$10,000</i>
G. Consultants/Contracts	<i>\$111,900</i>
H. Other	<i>\$13,500</i>
Total Direct Costs	<i>\$379,024</i>
I. Indirect Costs	<i>\$22,686</i>
TOTAL PROJECT COSTS	<i>\$401,710</i>
Federal Request	<i>\$301,283</i>
Non-Federal Amount	<i>\$100,427</i>

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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 making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) 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 this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
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4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime: Congressional District, if known: _____
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6. Federal Department/Agency: Congressional District, if known: _____	7. Federal Program Name/Description: CFDA Number, if applicable: _____
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8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____
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10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): _____	b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI): _____
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11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
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Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

(Detach and Submit with Application)

SINGLE AUDIT ACT INFORMATION

Application must provide the following information as required by OMB Circular No. A-128 "Audit of State and Local Governments". (Single Audit of 1984, P.L. 98-502.)

Period of Fiscal Year _____
(Example: 7/1-6/30/96 or 10/30/95-9/30/96)

Name and Address of designated Cognizant Federal Agency
(Example: HHS, DOL, HUD, DOJ, Agriculture)

Name

Address

City, State, and Zip Code

(Detach and Submit with Application)

CIVIL RIGHTS INFORMATION

List below the name, title, address, and telephone number of the civil rights contact person who has lead responsibility for ensuring that all applicable civil rights requirements are met and who acts as liaison in civil rights matters with the Office of Civil Rights for the Office of Justice Programs.

Name

Title

Address

City, State, and Zip Code

Telephone Number



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS

ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE

SECTION A: PURPOSE

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the OJP guideline manual entitled, "Financial and Administrative Guide for Grants."

- (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant, for each action program covered by a State's grants and for each subgrant awarded by the State.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION B: GENERAL

1. If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

a. When was the organization founded/ incorporated? (<i>month, day, year</i>)	b. Principal Officers	Titles
c. Employer Identification Number:	_____	_____
d. Number of Employees Full Time: Part Time:	_____	_____

2. Is the firm affiliated with any other firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If "yes", provide details:	3. Total Sales/Revenues in most recent accounting period. (<i>12 months</i>) \$
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SECTION C: ACCOUNTING SYSTEM

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? YES NO

a. If yes, provide name and address of Agency performing review:	b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.
Note: If review occurred within the past three years, omit questions 2-9 of this Section and Section D.	

2. Which of the following best describes the accounting system? Manual Automated Combination

3. Does the organization use a double-entry system in accounting for program funds? Yes No Not Sure

4. Does the accounting system identify the receipt and expenditures of program funds separately for each contract/grant? Yes No Not Sure

5. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget? Yes No Not Sure

6. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective? Yes No Not Sure

7. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses? Yes No Not Sure

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure

9. Is the firm generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal contracts/grants? Yes No Not Sure

SECTION D: FUND CONTROL

1. Is a separate bank account maintained for grant/contract funds? Yes No Not Sure
2. If Federal grant/contract funds are commingled with organization funds, can the Federal grant funds and related costs and expenses be readily identified? Yes No Not Sure
3. Are the officials of the firm bonded? Yes No Not Sure

SECTION E: FINANCIAL STATEMENTS

1. Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No
2. If an independent CPA review was performed please provide this office with a copy of their latest report and any management letters issued. Enclosed N/A
3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:

4. If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements:
- a. A detailed "Balance Sheet" for the most current and previous year; and
 - b. A detailed "Income Statement" for the most current and previous year.

SECTION F: ADDITIONAL INFORMATION

1. Use this space for any additional information (*indicate section and item numbers if a continuation*)

SECTION G: APPLICANT CERTIFICATION

I certify that the above information is complete and correct to the best of my knowledge.

- | | |
|--------------|---|
| 1. Signature | b. Firm Name, Address, and Telephone Number |
| a. Title | c. Application Identifier Number |

SECTION H: CPA CERTIFICATION

The purpose of the CPA certification is to assure the Federal agency that the recipient can establish fiscal controls and accounting procedures which assure that Federal and State/local funds available for the conduct of the grant programs and projects are disbursed and accounted for properly.

- | | |
|--------------|---|
| 1. Signature | b. Firm Name, Address, and Telephone Number |
| a. Title | |

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U.S. Department of Justice
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