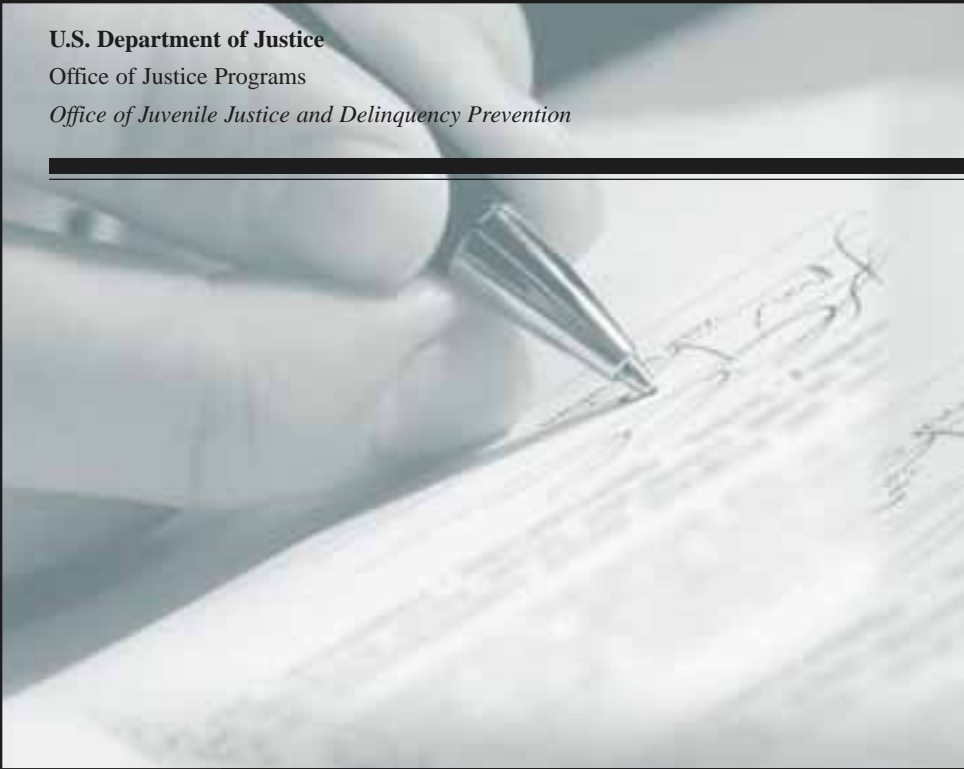


U.S. Department of Justice  
Office of Justice Programs  
*Office of Juvenile Justice and Delinquency Prevention*



# OJJDP

## *application kit*



# OJJDP

# Office of Juvenile Justice and Delinquency Prevention

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) was established by the President and Congress through the Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, Public Law 93-415, as amended. Located within the Office of Justice Programs of the U.S. Department of Justice, OJJDP's goal is to provide national leadership in addressing the issues of juvenile delinquency and improving juvenile justice.

OJJDP sponsors a broad array of research, program, and training initiatives to improve the juvenile justice system as a whole, as well as to benefit individual youth-serving agencies. These initiatives are carried out by seven components within OJJDP, described below.

**Research and Program Development Division** develops knowledge on national trends in juvenile delinquency; supports a program for data collection and information sharing that incorporates elements of statistical and systems development; identifies how delinquency develops and the best methods for its prevention, intervention, and treatment; and analyzes practices and trends in the juvenile justice system.

**Training and Technical Assistance Division** provides juvenile justice training and technical assistance to Federal, State, and local governments; law enforcement, judiciary, and corrections personnel; and private agencies, educational institutions, and community organizations.

**Special Emphasis Division** provides discretionary funds to public and private agencies, organizations, and individuals to replicate tested approaches to delinquency prevention, treatment, and control in such pertinent areas as chronic juvenile offenders, community-based sanctions, and the disproportionate representation of minorities in the juvenile justice system.

**State Relations and Assistance Division** supports collaborative efforts by States to carry out the mandates of the JJDP Act by providing formula grant funds to States; furnishing technical assistance to States, local governments, and private agencies; and monitoring State compliance with the JJDP Act.

**Information Dissemination Unit** produces and distributes information resources on juvenile justice research, training, and programs and coordinates the Office's program planning and competitive award activities. Information that meets the needs of juvenile justice professionals and policymakers is provided through print and online publications, videotapes, CD-ROM's, electronic listservs, and the Office's Web site. As part of the program planning and award process, IDU develops priorities, publishes solicitations and application kits for funding opportunities, and facilitates the peer review process for discretionary funding awards.

**Concentration of Federal Efforts Program** promotes interagency cooperation and coordination among Federal agencies with responsibilities in the area of juvenile justice. The program primarily carries out this responsibility through the Coordinating Council on Juvenile Justice and Delinquency Prevention, an independent body within the executive branch that was established by Congress through the JJDP Act.

**Missing and Exploited Children's Program** seeks to promote effective policies and procedures for addressing the problem of missing and exploited children. Established by the Missing Children's Assistance Act of 1984, the program provides funds for a variety of activities to support and coordinate a network of resources such as the National Center for Missing and Exploited Children; training and technical assistance to a network of 47 State clearinghouses, nonprofit organizations, law enforcement personnel, and attorneys; and research and demonstration programs.

The mission of OJJDP is to provide national leadership, coordination, and resources to prevent juvenile victimization and respond appropriately to juvenile delinquency. This is accomplished through developing and implementing prevention programs and a juvenile justice system that protects the public safety, holds juvenile offenders accountable, and provides treatment and rehabilitative services based on the needs of each individual juvenile.

OJJDP

*application*

*kit*

**Shay Bilchik, Administrator**  
Office of Juvenile Justice and Delinquency Prevention

January 2000

OJJDP

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The Office of Juvenile Justice and Delinquency Prevention 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 for Victims of Crime.

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## Introduction

I am pleased to provide you with this *OJJDP Application Kit* for funding. Although the overall rate of violent juvenile crime has been decreasing over the past 4 years, critical problems remain. In 1997, for example, although juvenile homicides were the lowest in the decade, they were still 21 percent above the average of the 1980's. Furthermore, every day in 1997, six children or youth were murdered and nearly 106,000 juveniles were being held in residential facilities.

It is essential to continue supporting the community and government efforts that have contributed to the declining trends in juvenile crime and crucial that we address the remaining issues. The Comprehensive Strategy for Serious, Violent, and Chronic Juvenile Offenders, established by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), provides a framework based on decades of research in the fields of criminal and juvenile justice, public health, and youth development for preventing delinquency and improving the response of the juvenile justice system. Accomplishing the goals of the Comprehensive Strategy requires a network of committed individuals and groups that share the desire to promote healthy intervention, development, and support for youth at risk of involvement in violent crime while enforcing personal accountability for serious, violent, and chronic juvenile offenders. With this foundation and the range of funding opportunities OJJDP offers for FY 2000, communities can establish and expand programs and resources designed to reduce juvenile delinquency, improve and increase accountability within the juvenile justice system, and protect children from abuse, neglect, and exploitation.

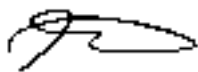
This year, funding will be provided for the following programs:

- Juvenile Justice and Delinquency Prevention Act, Parts C and D, Title II, Discretionary Grants.
- Missing and Exploited Children's Program.
- Juvenile Mentoring Program.
- Substance Abuse Reduction.
- Enforcing Underage Drinking Laws.
- Juvenile Accountability Incentive Block Grant Program.
- Drug-Free Communities Support Program.
- Tribal Youth Program.

Separate program announcements will be published for each funding opportunity, and each announcement will address the program's nature and purpose and enumerate application requirements and deadlines.

**These program announcements will not include application forms.** This *OJJDP Application Kit* provides application instructions, forms (including the SF-424), and review guidelines that apply to all OJJDP funding opportunities, unless otherwise noted. I encourage you to communicate with our Juvenile Justice Clearinghouse and subscribe to JUVJUST, our electronic mailing list (see page 4), to keep abreast of OJJDP funding opportunities as they are announced.

Through strengthening the juvenile justice system, supporting communities and families, and enhancing opportunities for juveniles to be safe and law abiding, the programs supported through OJJDP's FY 2000 funding will assist communities in their work to achieve further decreases in juvenile crime and victimization.



**Shay Bilchik**  
*Administrator*  
Office of Juvenile Justice and Delinquency Prevention

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# Application and Administrative Requirements

## Instructions for Completing Applications for Assistance

Applying for funds from a Federal agency can be challenging for any applicant. The Office of Juvenile Justice and Delinquency Prevention (OJJDP) provides resources and the following set of instructions and examples to help alleviate this confusion.

### Recommended Steps

- Review the specific Request for Proposal (RFP), paying specific attention to the eligibility requirements and due date(s). RFP's are available from the Juvenile Justice Clearinghouse. Page 4 of this *Application Kit* outlines general eligibility requirements but may be overridden by specific ones outlined in the RFP.
- Read the *Application Kit* from cover to cover to familiarize yourself with the application instructions and forms, paying particular attention to the **required** components of the application package, other format and content guidelines, and the Peer Review Guideline (the established review process followed by OJJDP and its contracting agency).
- Contact the Juvenile Justice Clearinghouse with questions or for more copies of the RFP's or *Application Kit*. See page 4 for details on contacting the Clearinghouse.
- Contact the OJJDP Program Manager for specific questions about the contents of the RFP.
- Prepare an application package that includes these **required** components: **forms** (Standard Form 424; Assurances, Certifications, and Disclosure); **Privacy Certificate** (face sheet and attachment detailing procedures for protecting the confidentiality of data); **project specifications** (Project Abstract, Budget Detail/Narrative Worksheet, and Program Narrative); and the **appendix** (timeline of major milestones including project deliverables and résumés of all personnel) using the instructions and details outlined in General Application Requirements, pages 4–7. Original copies of forms and other attachments should be signed in blue ink. Prepare and include a Table of Contents and be sure to also use and include the Checklist for OJJDP Applications on page 13 of this *Application Kit* for assistance in submitting a complete application package.
- Review the application package to ensure that it is complete and that all required forms are signed and included.
- Submit the original and five copies of the application package using a mail carrier or delivery service that will ensure delivery by 5 p.m. ET on the due date. The original must be marked "original" and include original signatures on the forms in blue ink. The due date is specified in each RFP. Unless otherwise noted in the RFP, page 9, under Submitting Your Application, provides the address for sending the application package. Be sure that the program name you are applying for appears in the lower left corner of the envelope.
- Await written or oral confirmation that your application package was received and, subsequently, whether your program was selected for funding.



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## Reference and Resource Support

Information and assistance on current and future funding opportunities, additional copies of the *Application Kit* and RFP's, and copies of reference materials cited in the RFP's are available from OJJDP's Juvenile Justice Clearinghouse. You may contact the Clearinghouse via telephone, fax, mail, or e-mail.

Phone: 800-638-8736 (Monday-Friday, 8:30 a.m.-7 p.m. ET)  
Fax-on-Demand: 800-638-8736, select option 1, then option 2 (24 hours a day, 7 days a week)  
Fax: 301-519-5212  
Mail: JJC, P.O. Box 6000, Rockville, MD 20849-6000  
E-Mail: askncjrs@ncjrs.org  
Home Page: www.ojjdp.ncjrs.org

Copies of the RFP's and *Application Kit* are available by the following:

Mail: Copies will be sent first class and will take approximately 3-5 days.  
Fax-on-Demand: Copies can be sent to your attention via fax immediately upon request  
(NOTE: *There may be a short delay depending on the volume of requests*).  
Online: Text can be downloaded from OJJDP's home page, Grants and Funding section, immediately upon request.

Updates on grants and funding opportunities, including award announcements, are also available on OJJDP's Web site, [www.ojjdp.ncjrs.org](http://www.ojjdp.ncjrs.org), and via JUVJUST, OJJDP's e-mail information resource. To subscribe, send an e-mail to [listproc@ncjrs.org](mailto:listproc@ncjrs.org), leave the subject line blank, and type *subscribe juvjust your name* in the body of the message.

## General Eligibility Requirements

Applications are invited from eligible public and private agencies, organizations, institutions, individuals, or combinations thereof. If eligible for an assistance award, private for-profit organizations must agree to waive any profit or fee. Joint applications by two or more eligible applicants are welcome, provided that one organization is designated as the primary applicant and the other(s) as coapplicant(s).

Applicants must demonstrate that they have experience in the design and implementation of the type of program or program activity for which they are applying and have the management and financial capabilities to effectively implement a project of the size and scope delineated in the program description. Each applicant must also demonstrate the capability to manage the program in order to be eligible for funding consideration.

**NOTE:** *Eligibility differs from program to program. Please consult individual RFP's for specific eligibility requirements.*

## General Application Requirements

OJJDP prepares specific RFP's that address particular programs and policy goals of the Office. Any application sent to OJJDP must respond to a particular RFP. Each RFP stipulates what the application must contain and the selection criteria by which each proposal will be reviewed.

The following section provides a brief description of the mandatory components, broken out by the four key sections (Forms, Privacy Certificate, Project Specifications, and Appendix) of an application package. Unless otherwise noted in the specific RFP, the original and five copies of the application package must

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include and address each component. The package should also include a Table of Contents, and each page of the application package should be numbered.

## Forms

This section comprises four forms: Standard Form 424, OJP Form 4000/3, OJP Form 4061/6, and Standard Form LLL.

### ***Standard Form 424***

SF-424 is a cover sheet for the OJJDP funding application. A copy and sample, along with instructions to complete the 18 data fields, are included in appendix A. **NOTE:** *No application will be accepted without a complete, signed, original SF-424.* A frequently asked question is, What is the *Catalog of Federal Domestic Assistance* number requested in item 10 of the SF-424? Each funding opportunity has a number that corresponds to a funding source and category—the number is found in the *Catalog of Federal Domestic Assistance*.

### ***Assurances, Certifications, and Disclosure***

Three forms that address assurances, certifications, and disclosures must be read, signed, and included in the application package. Copies are available in appendix A. Sign originals in blue ink.

- OJP Form 4000/3 (Assurances) includes a list of assurances that govern the use of Federal funds for federally assisted projects.
- OJP Form 4061/6 (Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements) 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 Requirement for Drug-Free Workplace (Grants).” The certifications will be treated as material representations of the facts on which reliance will be placed by the U.S. Department of Justice (DOJ) in making awards.
- Standard Form LLL (Disclosure of Lobbying Activities) is requested 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 an employee of a member of Congress in connection with a covered Federal action. **NOTE:** *SF-LLL is not required if there are no lobbying activities to disclose.*

## Privacy Certificate

In accordance with 28 CFR Part 22, applicants conducting research or statistical activities must submit a Privacy Certificate to ensure that they have appropriate procedures in place to protect the confidentiality of data identifiable to private persons. The two components in this section assist in preparing a Privacy Certificate for OJJDP. Please review the Privacy Certificate Guidelines in appendix B to determine whether your project needs a Privacy Certificate.

### ***Face Sheet***

This contains general information about the project and assurances. The face sheet should have original signatures from the Principal Investigator(s) or an authorized official from the institution conducting the project.

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## ***Attachment***

The attachment should detail procedures for protecting the confidentiality of data identifiable to private persons.

## **Project Specifications**

This section comprises three components.

### ***Project Abstract***

The Project Abstract, limited to 150–200 words, highlights key points of the proposed project. The abstract should briefly present the goals of the project and how the applicant intends to accomplish them.

### ***Budget Detail Worksheet/Budget Narrative***

To understand how the grant award will be used by the applicant, OJJDP requires a Budget Detail Worksheet, accompanied by a Budget Narrative, in the application. The Budget Detail Worksheet must break down into more explicit terms the costs associated with the project. It must show how the applicant arrived at the total amount of the requested award.

The Budget Narrative should closely follow the content of the Budget Detail Worksheet. The narrative must provide justification for all proposed costs. Among other things, the narrative must explain how fringe benefits were calculated, how travel costs were estimated, why particular items of equipment or supplies must be purchased, and how indirect costs (if applicable) were calculated. The Budget Narrative should refer to the Program Narrative and justify the specific items listed (particularly supplies, travel, and equipment). Finally, the applicant must show that all costs in the application are reasonable.

A sample Budget Detail Worksheet with narrative incorporated is included on page 27 to assist you. As noted on the sample, applicants can provide budget details and narrative using any format or form provided all required elements are included. However, to ensure that the application package is complete and to assist with the screening and review process, applicants are strongly encouraged to use the form provided or the outlined format.

### ***Program Narrative***

The Program Narrative should address the RFP's specific criteria and/or application requirements, illustrate how the proposed project identifies and will resolve problems in the community, and fully describe the expected design and implementation of the proposed program. Unless the specific RFP contains other program-specific criteria, the Program Narrative should address the following areas:

**Problem(s) To Be Addressed.** The problem to be addressed by the project is clearly stated.

**Goals and Objectives.** The goals and objectives of the proposed project are clearly defined and the outcomes are measurable. A key element to goals, objectives, and outcomes is a timeline of key milestones, including project deliverables, which should be included in the appendix.

**Project Design.** A sound project design that contains program elements directly linked to the achievement of project objectives.

**Management and Organizational Capability.** The project management and overall organizational capability demonstrate the applicant's capacity to successfully operate and support the project. Information key to management and organization is résumés of key personnel, which should be included in the appendix.

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**Budget.** Budgeted costs are reasonable, allowable, and cost effective for the proposed activities.

**NOTE:** *Page limits and other format guidelines noted in the RFP must be followed.*

OJJDP requires that funded programs contain plans for continuous self-assessment to keep program management informed of progress and results, and these plans should be noted in the Program Narrative. In addition, many funded projects will be considered for participation in independent evaluations initiated by OJJDP or other Office of Justice Programs (OJP) agencies. Project management will be expected to cooperate fully with designated evaluators.

## **Appendix**

Should include, but is not limited to, a timeline and résumés. Specific RFP's may require additional information to be included in the appendix.

### ***Timeline of Major Milestones and Project Deliverables***

Include a timeline that tracks when major milestones and project deliverables will be accomplished.

### ***Résumés of Personnel***

Provide résumés of key proposed staff.

**NOTE:** *Applications that include proposed noncompetitive contracts for the provision of specific goods and services must include a sole-source justification for any procurement in excess of \$100,000.*

Applicants receiving other funds in support of the proposed activity (current, recent, or expected) must include in their application information on all sources of these funds (including funding from other Federal agencies), the anticipated total amount to be received, and a brief description of any other program(s) receiving such funds.

## **Other Requirements for Review and Compliance**

### **Financial Requirements**

Discretionary grants are governed by the provisions of the Office of Management and Budget (OMB) circulars applicable to financial assistance. The circulars, along with additional information and guidance, are contained in the *Office of Justice Programs' Financial Guide* available from OJP. This *Guide* includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. The *Guide* will be provided upon request and will govern the administration of funds by all successful applicants.

### **Civil Rights Requirements**

#### ***Prohibition of Discrimination for Recipients of Federal Funds***

No person in any State shall on the grounds of race, color, religion, national origin, gender, disability, or age be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in connection with any program or activity receiving Federal financial assistance, pursuant to the following statutes and regulations: Section 809(c), Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3789d; Section 292(b) of the JJDP Act and DOJ nondiscrimination regulations, 28 CFR Part 42, Subparts C, D, E, and G; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990) and

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DOJ regulations on disability discrimination 28 CFR Part 35 and Part 39; Title IX of the Education Amendments of 1972; and the Age Discrimination Act of 1985.

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, gender, disability, or age against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, OJP.

## Privacy Certificate Requirements

Applicants should be aware of DOJ's requirements for privacy and confidentiality in research and statistical efforts. These requirements are stipulated by 42 U.S.C. § 3879g. DOJ has issued a specific regulation concerning the implementation of this statutory requirement in 28 CFR Part 22. In accordance with 28 CFR Part 22, applicants requesting funds for research or statistical activities must submit a Privacy Certificate with the application. The purpose of the Privacy Certificate is to ensure that the applicant has appropriate policies and procedures in place to protect the confidentiality of data identifiable to private persons. Specifically, the Privacy Certificate must be in compliance with the requirements of 28 CFR § 22.23. OJJDP has developed guidelines for preparing a Privacy Certificate in accordance with the confidentiality regulation (see appendix B).

Applicants are further advised that any project that will involve the use of human research subjects must be reviewed by an Institutional Review Board (IRB), in accordance with DOJ regulations at 28 CFR Part 46. **IRB review is not required prior to submission of the application.** However, if an award is made and the project involves research using human subjects, OJJDP will place a special condition on the award requiring that the project be approved by an appropriate IRB before Federal funds can be disbursed for human subjects activities. Applicants should include plans for IRB review, where applicable, in the project timeline submitted with the proposal.

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

Applicants must read, sign the original in blue ink, and include the original and five copies of the three assurances, certifications, and disclosure forms. See Assurances, Certifications, and Disclosure under General Application Requirements on page 5 for more details.

## Government Audit Requirement

Audits of State and local units of government, institutions of higher education, and other nonprofit institutions must comply with the organizational audit requirements of OMB circular A-133, which states that recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report within 9 months after the close of each fiscal year during the term of the award to their cognizant Federal agency.

## State Single Points of Contact

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application package to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. The State SPOC's are listed in appendix D of this *Application Kit*. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in block 16 on the SF-424.

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If the SPOC requires a copy of the application, the applicant should provide that copy and include the original as part of the application package submitted to OJJDP.

## **Submitting Your Application**

Use the Checklist for OJJDP Applications (page 13) to ensure that a complete application package is submitted.

It is the applicant's responsibility to ensure that the application package is received by 5 p.m. ET on the due date (unless otherwise noted in the RFP). Select a mail carrier or delivery service that will ensure receipt. Due dates are specified in each RFP.

All application packages should be mailed or delivered to the following address:

Office of Juvenile Justice and Delinquency Prevention  
c/o Juvenile Justice Resource Center  
2277 Research Boulevard, Mail Stop 2K  
Rockville, MD 20850  
301-519-5535 (phone number is required for some mail carriers)

Applicants must clearly write the name of the program being applied for in the lower left corner of the envelope.

OJJDP will notify applicants that their applications have been received. Subsequently, applicants will also be notified as to whether their project will be selected for funding. Applicants should provide a return address, telephone number, and fax number to assist with this notification process.

## **Application Review Process**

All applicants will be evaluated and rated by a peer review panel according to specified criteria. Peer review will be conducted in accordance with the OJJDP Peer Review Guideline contained in appendix C. When appropriate in a particular grant program, preference will be given to communities that can demonstrate broad-based, multidisciplinary planning. Applicants should explain how the grant program will be integrated into the communities' overall plan.

Selection criteria for each competitive program will determine applicants' responsiveness to minimum program application requirements, organizational capability, and thoroughness and innovativeness in responding to strategic issues related to project implementation. Each competitive program announcement will indicate whether there are additional program-specific review criteria and/or changes in points assigned to criteria used in the peer reviews for that particular program.

Peer reviewers will use the categories outlined in the Program Narrative section under General Application Requirements (see page 6) to rate applications unless the RFP contains separate, program-specific selection criteria.

The Administrator may also give consideration to geographic distribution and regional balance when making awards. Peer reviewers' recommendations are advisory only; the final award decision is made by the Administrator. OJJDP will negotiate specific terms of the awards with the selected applicants.

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## **Suspension or Termination of Funding**

OJJDP may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- Failing to comply substantially with the requirements or statutory objectives of the JJDP Act, program guidelines issued thereunder, or other provisions of Federal law.
- Failing to make satisfactory progress toward the goals or strategies set forth in the RFP and application.
- Failing to adhere to the requirements in the agreement, standard conditions, or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit reports.
- Filing a false certification in this application or other report or document.

Before imposing sanctions, OJJDP 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 DOJ regulations in 28 CFR Part 18.

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# **Appendix A: Checklist and Application Forms**



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# Checklist for OJDP Applications

This checklist is provided to assist you in preparing and compiling your application package for OJDP funding. Attach a copy of this completed checklist to your application to ensure compliance with the application process and to assist in the review process.

- Table of Contents.

## Forms (signed and dated, original in blue ink)

- Standard Form 424.
- OJP Form 4000/3 (Assurances).
- OJP Form 4061/6 (Certifications).
- Standard Form LLL (Disclosure of Lobbying Activities), if applicable.

## Privacy Certificate (if applicable)

- Face Sheet.
- Attachment.

## Project Specifications

- Project Abstract.
- Budget Detail Worksheet/Budget Narrative.
- Program Narrative.

## Appendix

- Timeline of major milestones.
- Résumés of all personnel.
- Five additional copies of the application package.

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/>	
<b>8. TYPE OF APPLICATION:</b> <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): _____		A. State                      H. Independent School Dist. <input type="checkbox"/> B. County                    I. State Controlled Institution of Higher Learning C. Municipal                J. Private University D. Township                K. Indian Tribe E. Interstate                L. Individual F. Intermunicipal         M. Profit Organization G. Special District        N. Other (Specify) _____	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b> _____ TITLE:		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	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	
b. Applicant	\$ .00		
c. State	\$ .00		
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00		
g. TOTAL	\$ .00		
		<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
		<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
<b>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.</b>			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

**APPLICATION FOR  
FEDERAL ASSISTANCE**

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> 09/01/99		Applicant Identifier	
Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>		State Application Identifier	
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>		Federal Identifier	
<b>5. APPLICANT INFORMATION</b>					
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		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> CO - 9 8 7 6 5 4 3			<b>7. TYPE OF APPLICANT:</b> (enter appropriate letter in box) <input type="checkbox"/>		
<b>8. TYPE OF APPLICATION:</b> <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) _____		
			<b>9. NAME OF FEDERAL AGENCY:</b> Office of Juvenile Justice and Delinquency Prevention		
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> National Institute for Juvenile Justice and Delinquency Prevention TITLE: _____			<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Project To Expand and Improve Juvenile Restitution Program		
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b> Arlington, VA			10/01/00-09/30/01		
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>			
Start Date 10/01/00	Ending Date 09/30/01	a. Applicant 19		b. Project 19	
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>			
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	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <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				
<b>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.</b>					
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	

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including 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 the 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 (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry:  | Item: | Entry:   |
|-------|---|-------|--|
| 1.    | Self-explanatory.   | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).   | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable).   | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.   | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7.    | Enter the appropriate letter in the space provided.   | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>-- "New" means a new assistance award.<br><br>-- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>-- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with this application.  |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.   |       |  |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.   |       |  |

# 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
		<b>TOTAL</b> _____

**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
		<b>TOTAL</b> _____
		<b>Total Personnel &amp; Fringe Benefits</b> _____

**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
		<b>TOTAL</b> _____

**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
		<b>TOTAL</b> _____

**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
		<b>TOTAL</b> _____

**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
		<b>TOTAL</b> _____

**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.

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

# 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.

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

*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.

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

*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.

<b>Supply Items</b>	<b>Computation</b>	<b>Cost</b>
<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>

*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.*

**TOTAL \$1,840**

**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.

<b>Purpose</b>	<b>Description of Work</b>	<b>Cost</b>
<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>

*The renovations are needed to upgrade the forensic lab used to analyze evidence for homicide cases.*

**TOTAL \$10,000**

**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.

<b>Name of Consultant</b>	<b>Service Provided</b>	<b>Computation</b>	<b>Cost</b>
<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.)

<b>Item</b>	<b>Location</b>	<b>Computation</b>	<b>Cost</b>
<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.

<b>Item</b>	<b>Cost</b>
<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 \$111,900**

**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.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
<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>
		<b>TOTAL \$13,500</b>

**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.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
<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>		
		<b>TOTAL \$22,686</b>

**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.

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



## INSTRUCTIONS

### PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

#### 1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

#### 2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

#### 3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

#### 4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

#### 5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

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Public reporting burden for this collection of information is estimated to average 26 hours 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 aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 810 Seventh Street NW., Washington, DC 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

## 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.

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Signature

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Date



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## 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 subrecipients 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)

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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, 810 Seventh Street NW., Washington, DC 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

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# DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <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	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known:	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>   Congressional District, if known:	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier 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 semi-annually 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: _____	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

## 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 an 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 lobbying 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.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including 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 the 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, DC 20503.

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# **Appendix B: Privacy Certificate Guidelines and Statement**

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## Privacy Certificate Guidelines

OJP policy requires that all grantees receiving funds to conduct research or statistical activities that involve collecting data identifiable to a private person submit a Privacy Certificate in accordance with the requirements of 28 CFR Part 22.

To determine if these regulations apply to a particular project, the applicant/grantee should answer the following two questions. First, is the project a research or statistical project as defined in 28 CFR § 22.2? Second, does the project involve collecting information identifiable to a private person as defined in 28 CFR § 22.2? If the answer to both of these questions is yes, then a Privacy Certificate is required.

Projects will typically fall into one of three categories:

**Category 1:** The project does not involve any research or statistical activities.

**Category 2:** The project involves research and/or statistical activities but does not involve the collection of information identifiable to private persons.

**Category 3:** The project involves research and/or statistical activities and involves the collection of information identifiable to private persons.

Applicants/grantees whose projects fall into categories 1 and 2 do not need to prepare a Privacy Certificate in accordance with the regulations. However, applicants/grantees should submit a brief description of the project (one or two paragraphs) demonstrating that a Privacy Certificate is not required. For example, the project description for a project in category 1 would describe the type of activities involved (e.g., demonstration program, training and technical assistance) and contain a statement to the effect that no research or statistical activities will be conducted as part of this project. Similarly, the project description for a project in category 2 would contain a very brief description of the research/statistical activities to be conducted and the type(s) of data being collected or used in the project and would assert that no information identifiable to a private person is being collected. Applicants/grantees whose projects fall into category 3 will need to submit a Privacy Certificate in compliance with 28 CFR Part 22.

The attached documents have been created to assist OJJDP applicants/grantees in preparing a Privacy Certificate. The Privacy Certificate should include a face sheet with general project information and assurances and an attachment detailing procedures for protecting the confidentiality of data identifiable to private persons. The face sheet must be signed by the Principal Investigator(s) or an authorized official from the institution or organization conducting the project (with the name and title typed under each signature). **The Privacy Certificate submitted to OJJDP should contain original signatures.** A sample attachment for the Privacy Certificate has been provided and includes guidelines for complying with the regulations. Please note that each section must be completed for the Privacy Certificate to be approved. The applicable section(s) of 28 CFR Part 22 are noted in brackets for reference purposes. Guidelines for completing each section are provided in italics.

If you have any questions about preparing a Privacy Certificate, please contact your OJJDP grant manager or OJJDP's Human Subjects Protection Officer, Katharine Browning, at 202-305-4512.



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## Privacy Certificate Face Sheet

Title of Project: \_\_\_\_\_

Applicant/Grantee: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Principal Investigator(s): \_\_\_\_\_

In accordance with 28 CFR Part 22, the applicant/grantee agrees to provide administrative and physical security of identifiable data and to preserve the anonymity of private persons participating in this project. Further, the applicant/grantee assures that any data identifiable to a private person will not be used or revealed, except as authorized by 28 CFR §§ 22.21 and 22.22.

Project personnel, including subcontractors, have been or will be advised of these procedures and are required to agree, in writing, to comply with all established procedures to safeguard privacy and confidentiality.

In order to comply with the regulations, the applicant/grantee has attached a document containing all required elements of a privacy certificate as provided in 28 CFR Part 22.

Signature(s): \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

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## Sample Attachment for Privacy Certificate

Brief description of the project: {§ 22.23(b)}

*Please provide a one- or two-paragraph description of the overall project, similar to an abstract of the project. The description should include the type(s) of data to be used in the project.*

Procedures to notify participants, as required by 28 CFR § 22.23(b)(4), or, if notification is to be waived, pursuant to 28 CFR § 22.27(c), justification for waiver: {§ 22.27}

*Please note that many projects involving the collection of data identifiable to a private person also fall under DOJ human subjects regulations at 28 CFR Part 46. Projects involving human subjects are required to obtain informed consent in accordance with the human subjects regulations. If you have any question about whether your project involves human subjects, please consult with OJJDP or with your institution's Institutional Review Board (IRB).*

*If your project does not involve human subjects as defined in 28 CFR Part 46, then you are only required to notify participants, either orally or in writing, that the information obtained from them will be used strictly for research or statistical purposes and that their participation is voluntary, as required by 28 CFR § 22.27.*

*This section should include information on informed consent or notification procedures as appropriate for your project.*

Procedures for storing and securing the data: {§ 22.23(b)(5), § 22.23(b)(7)}

*Describe the procedures that will be put in place to ensure administrative and physical security of identifiable data and to preserve anonymity of private persons to whom information relates (e.g., hard copies of data will be stored in a locked file cabinet with limited access to cabinet key, procedures for protecting computer data files with identifying information, and so on).*

Disposition of data will occur in the following manner: {§ 22.23(c), § 22.25}

*Describe how confidentiality of identifiable data will be protected upon completion of the project.*

Assurance that the anonymity of private persons will be protected: {§ 22.23(b)(8), § 22.22}

*Provide assurance that project findings and reports prepared for dissemination will not contain information that can reasonably be expected to be identifiable to a private person except as authorized under 28 CFR § 22.22. If the project will result in the public release of statistical tables or microdata files, please provide assurance that appropriate measures will be taken to minimize the risk of disclosing confidential information about identifiable persons. It is not necessary to identify the precise measures that will be used. The applicant/grantee simply needs to assure OJJDP that before any statistical tables or microdata files are released to the public, the applicant/grantee will examine the tables and/or files for potential disclosure problems and take steps to prevent such disclosure.*

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*Reference for further information on disclosure issues:*

Federal Committee on Statistical Methodology. 1994. *Statistical Policy Working Paper 22: Report on Statistical Disclosure Limitation Methodology*. Washington, DC: Office of Management and Budget. <http://www.fcsm.gov/working-papers/wp22.html>.

Access to data in identifiable form is limited to the following individuals: {§ 22.23(b)(2)}

Principal Investigator(s):

Project Staff:

Subcontractors:

*Please provide name, address, phone number, and organizational affiliation for each of the above-mentioned individuals. If project staff and/or subcontractors have not been determined, please provide as much detail about personnel (e.g., two research assistants) who will have access to data with identifying information on individuals.*

Information Transfer Agreements: {§ 22.23(b)(6), § 22.24, § 22.26}

*The regulations require that prior to the transfer of identifiable data to persons other than project staff and OJP staff, the persons receiving the data must enter into an Information Transfer Agreement. Please indicate how the transfer of identifiable data will be handled in compliance with 28 CFR § 22.24 and § 22.26. In addition, please assure that a log will be maintained of all transfers of identifiable data in accordance with § 22.23(b)(6).*

Identify any conditions that would require waiving an element of the Privacy Certificate and explain:

# Confidentiality of Identifiable Research and Statistical Information (28 CFR Part 22)

## PART 22—CONFIDENTIALITY OF IDENTIFIABLE RESEARCH AND STATISTICAL INFORMATION

Sec.

22.1 Purpose.

22.2 Definitions.

22.20 Applicability.

22.21 Use of identifiable data.

22.22 Revelation of identifiable data.

22.23 Privacy certification.

22.24 Information transfer agreement.

22.25 Final disposition of identifiable materials.

22.26 Requests for transfer of information.

22.27 Notification.

22.28 Use of data identifiable to a private person for judicial, legislative or administrative purposes.

22.29 Sanctions.

AUTHORITY: Secs. 801(a), 812(a), Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C. 3701, *et seq.*, as amended (Pub. L. 90–351, as amended by Pub. L. 93–83, Pub. L. 93–415, Pub. L. 94–430, Pub. L. 94–503, Pub. L. 95–115, Pub. L. 96–157, and Pub. L. 98–473); secs. 262(b), 262(d), Juvenile Justice and Delinquency Prevention Act of 1974, 42 U.S.C. 5601, *et seq.*, as amended (Pub. L. 93–415, as amended by Pub. L. 94–503, Pub. L. 95–115, Pub. L. 99–509, and Pub. L. 98–473); and secs. 1407(a) and 1407(d) of the Victims of Crime Act of 1984, 42 U.S.C. 10601, *et seq.*, Pub. L. 98–473.

SOURCE: 41 FR 54846, Dec. 15, 1976, unless otherwise noted.

### § 22.1 Purpose.

The purpose of these regulations is to:

(a) Protect privacy of individuals by requiring that information identifiable to a private person obtained in a research or statistical program may only be used and/or revealed for the purpose for which obtained;

(b) Insure that copies of such information shall not, without the consent of the person to whom the information pertains, be admitted as evidence or used for any purpose in any judicial or administrative proceedings;

(c) Increase the credibility and reliability of federally-supported research and statistical findings by minimizing subject concern over subsequent uses of identifiable information;

(d) Provide needed guidance to persons engaged in research and statistical activities by clarifying the purposes for which identifiable information may be used or revealed; and

(e) Insure appropriate balance between individual privacy and essential needs of the research community for data to advance the state of knowledge in the area of criminal justice.

(f) Insure the confidentiality of information provided by crime victims to crisis intervention counselors working for victim services programs receiving funds provided under the Crime Control Act, and Juvenile Justice Act, and the Victims of Crime Act.

[41 FR 54846, Dec. 15, 1976, as amended at 51 FR 6400, Feb. 24, 1986]

### § 22.2 Definitions.

(a) *Person* means any individual, partnership, corporation, association, public or private organization or governmental entity, or combination thereof.

(b) *Private person* means any person defined in § 22.2(a) other than an agency, or department of Federal, State, or local government, or any component or combination thereof.

Included as a private person is an individual acting in his or her official capacity.

(c) *Research or statistical project* means any program, project, or component thereof which is supported in whole or in part with funds appropriated under the Act and whose purpose is to develop, measure, evaluate, or otherwise advance the state of knowledge in a particular area. The term does not include “intelligence” or other information-gathering activities in which information pertaining to specific individuals is obtained for purposes directly related to enforcement of the criminal laws.

(d) *Research or statistical information* means any information which is collected during the conduct of a research or statistical project and which is intended to be utilized for research or statistical purposes. The term includes information which is collected directly from the individual or obtained from any agency or individual having possession, knowledge, or control thereof.

(e) *Information identifiable to a private person* means information which either—

(1) Is labelled by name or other personal identifiers, or

(2) Can, by virtue of sample size or other factors, be reasonably interpreted as referring to a particular private person.

(f) *Recipient of assistance* means any recipient of a grant, contract, interagency agreement, subgrant, or subcontract under the Act and any person, including subcontractors, employed by such recipient in connection with performances of the grant, contract, or interagency agreement.

(g) *Officer or employee of the Federal Government* means any person employed as a regular or special employee of the U.S. (including experts, consultants, and advisory board members) as of July 1, 1973, or at any time thereafter.

(h) *The act* means the Omnibus Crime Control and Safe Streets Act of 1968, as amended.

(i) *Applicant* means any person who applies for a grant, contract, or subgrant to be funded pursuant to the Act.

(j) *The Juvenile Justice Act* means the “Juvenile Justice and Delinquency Prevention Act of 1974, as amended.”

(k) *The Victims of Crime Act* means the Victims of Crime Act of 1984.

[41 FR 54846, Dec. 15, 1976, as amended at 43 FR 16974, Apr. 21, 1978; 51 FR 6400, Feb. 24, 1986]

### § 22.20 Applicability.

(a) These regulations govern use and revelation of research and statistical information obtained, collected, or produced either directly by BJA, OJJDP, BJS, NIJ, or OJP or under any interagency agreement, grant, contract, or subgrant awarded under the Crime Control Act, the Juvenile Justice Act, and the Victims of Crime Act.

(b) The regulations do not apply to any records from which identifiable research or statistical information was originally obtained; or to any records which are designated under existing statutes as public; or to any information extracted from any records designated as public.

(c) The regulations do not apply to information gained regarding future criminal conduct.

[41 FR 54846, Dec. 15, 1976, as amended at 43 FR 16974, Apr. 21, 1978; 51 FR 6400, 6401, Feb. 24, 1986]

### § 22.21 Use of identifiable data.

Research or statistical information identifiable to a private person may be used only for research or statistical purposes.

### § 22.22 Revelation of identifiable data.

(a) Except as noted in paragraph (b) of this section, research and statistical information relating to a private person may be revealed in identifiable form on a need-to-know basis only to—

(1) Officers, employees, and subcontractors of the recipient of assistance;

(2) Such individuals as needed to implement sections 202(c)(3), 801, and 811(b) of the Act; and sections 223(a)(12)(A), 223(a)(13), 223(a)(14), and 243 of the Juvenile Justice and Delinquency Prevention Act.

(3) Persons or organizations for research or statistical purposes. Information may only be transferred for such purposes upon a clear demonstration that the standards of § 22.26 have been met and that, except where information is transferred under paragraphs (a) (1) and (2) of this section, such transfers shall be conditioned on compliance with a § 22.24 agreement.

(b) Information may be revealed in identifiable form where prior consent is obtained from an individual or where the individual has agreed to participate in a project with knowledge that the findings cannot, by virtue of sample size, or uniqueness of subject, be expected to totally conceal subject identity.

[41 FR 54846, Dec. 15, 1976, as amended at 51 FR 6400, Feb. 24, 1986]

### § 22.23 Privacy certification.

(a) Each applicant for BJA, OJJDP, BJS, NIJ, or OJP support either directly or under a State plan shall submit a Privacy Certificate as a condition of approval of a grant application or contract proposal which has a research or statistical project component under which information identifiable to a private person will be collected.

(b) The Privacy Certificate shall briefly describe the project and shall contain assurance by the applicant that:

(1) Data identifiable to a private person will not be used or revealed, except as authorized under §§ 22.21, 22.22.

(2) Access to data will be limited to those employees having a need therefore and that such persons shall be advised of and agree in writing to comply with these regulations.

(3) All subcontracts which require access to identifiable data will contain conditions meeting the requirements of § 22.24.

(4) To the extent required by § 22.27 any private persons from whom identifiable data are collected or obtained, either orally or by means of written questionnaire, shall be advised that the data will only be used or revealed for research or statistical purposes and that compliance with requests for information is not mandatory. Where the notification requirement is to be waived, pursuant to § 22.27(c), a justification must be included in the Privacy Certificate.

(5) Adequate precautions will be taken to insure administrative and physical security of identifiable data.

(6) A log will be maintained indicating that identifiable data have been transmitted to persons other than BJA, OJJDP, BJS, NIJ, or OJP or grantee/contractor staff or subcontractors, that such data have been returned, or that alternative arrangements have been agreed upon for future maintenance of such data.

(7) Project plans will be designed to preserve anonymity of private persons to whom information relates, including, where appropriate, name-stripping, coding of data, or other similar procedures.

(8) Project findings and reports prepared for dissemination will not contain information which can reasonably be expected to be identifiable to a private person except as authorized under § 22.22.

(c) The applicant shall attach to the Privacy Certification a description of physical and/or administrative procedures to be followed to insure the security of the data to meet the requirements of § 22.25.

[41 FR 5486, Dec. 15, 1976, as amended at 51 FR 6401, Feb. 24, 1986]

### § 22.24 Information transfer agreement.

Prior to the transfer of any identifiable information to persons other than BJA, OJJDP, BJS, NIJ, or OJP or project staff, an agreement shall be entered into which shall provide, as a minimum, that the recipient of data agrees that:

(a) Information identifiable to a private person will be used only for research and statistical purposes.

(b) Information identifiable to a private person will not be revealed to any person for any purpose except where the information has already been included in research findings (and/or data bases) and is revealed on a need-to-know basis for research or statistical purposes, provided that such transfer is approved by the person providing information under the agreement, or authorized under § 22.24(e).

(c) Knowingly and willfully using or disseminating information contrary to the provisions of the agreement shall constitute a violation of these regulations, punishable in accordance with the Act.

(d) Adequate administrative and physical precautions will be taken to assure security of information obtained for such purpose.

(e) Access to information will be limited to those employees or subcontractors having a need therefore in connection with performance of the activity for which obtained, and that such persons shall be advised of, and agree to comply with, these regulations.

(f) Project plans will be designed to preserve anonymity of private persons to whom information relates, including, where appropriate, required name-stripping and/or coding of data or other similar procedures.

(g) Project findings and reports prepared for dissemination will not contain information which can reasonably be expected to be identifiable to a private person.

(h) Information identifiable to a private person (obtained in accordance with this agreement) will, unless otherwise agreed upon, be returned upon completion of the project for which obtained and no copies of that information retained.

[41 FR 5486, Dec. 15, 1976, as amended at 51 FR 6401, Feb. 24, 1986]

### § 22.25 Final disposition of identifiable materials.

Upon completion of a research or statistical project the security of identifiable research or statistical information shall be protected by:

(a) Complete physical destruction of all copies of the materials or the identifiable portion of such materials after a three-year required recipient retention period or as soon as authorized by law, or

(b) Removal of identifiers from data and separate maintenance of a name-code index in a secure location.

The Privacy Certificate shall indicate the procedures to be followed and shall, in the case of paragraph (b) of this section, describe procedures to secure the name index.

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**§ 22.26 Requests for transfer of information.**

(a) Requests for transfer of information identifiable to an individual shall be submitted to the person submitting the Privacy Certificate pursuant to § 22.23.

(b) Except where information is requested by BJA, OJJDP, BJS, NIJ, or OJP, the request shall describe the general objectives of the project for which information is requested, and specifically justify the need for such information in identifiable form. The request shall also indicate, and provide justification for the conclusion that conduct of the project will not, either directly or indirectly, cause legal, economic, physical, or social harm to individuals whose identification is revealed in the transfer of information.

(c) Data may not be transferred pursuant to this section where a clear showing of the criteria set forth above is not made by the person requesting the data.

[41 FR 5486, Dec. 15, 1976, as amended at 51 FR 6401, Feb. 24, 1986]

**§ 22.27 Notification.**

(a) Any person from whom information identifiable to a private person is to be obtained directly, either orally, by questionnaire, or other written documents, shall be advised:

(1) That the information will only be used or revealed for research or statistical purposes; and

(2) That compliance with the request for information is entirely voluntary and may be terminated at any time.

(b) Except as noted in paragraph (c) of this section, where information is to be obtained through observation of individual activity or performance, such individuals shall be advised:

(1) Of the particular types of information to be collected;

(2) That the data will only be utilized or revealed for research or statistical purposes; and

(3) That participation in the project in question is voluntary and may be terminated at any time.

(c) Notification, as described in paragraph (b) of this section, may be eliminated where information is obtained through field observation of individual activity or performance and in the judgment of the researcher such notification is impractical or may seriously impede the progress of the research.

(d) Where findings in a project cannot, by virtue of sample size, or uniqueness of subject, be expected to totally conceal subject identity, an individual shall be so advised.

**§ 22.28 Use of data identifiable to a private person for judicial, legislative or administrative purposes.**

(a) Research or statistical information identifiable to a private person shall be immune from legal process and shall only be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative or administrative proceeding with the written consent of the individual to whom the data pertains.

(b) Where consent is obtained, such consent shall:

(1) Be obtained at the time that information is sought for use in judicial, legislative or administrative proceedings;

(2) Set out specific purposes in connection with which information will be used;

(3) Limit, where appropriate, the scope of the information subject to such consent.

[41 FR 54846, Dec. 15, 1976, as amended at 45 FR 62038, Sept. 18, 1980]

**§ 22.29 Sanctions.**

Where BJA, OJJDP, BJS, NIJ, or OJP believes that a violation has occurred of section 812(a) of the Act or section 1407(d) of the Victims of Crime Act, these regulations, or any grant or contract conditions entered into thereunder, it may initiate administrative actions leading to termination of a grant or contract, commence appropriate personnel and/or other procedures in cases involving Federal employees, and/or initiate appropriate legal actions leading to imposition of a fine of not to exceed \$10,000 against any person responsible for such violations.

[41 FR 54846, Dec. 15, 1976, as amended at 45 FR 62038, Sept. 18, 1980; 51 FR 6401, Feb. 24, 1986]

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# **Appendix C: Peer Review Information**

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**UNITED STATES  
DEPARTMENT OF JUSTICE**

OFFICE OF JUSTICE PROGRAMS



## **Guideline**

OJP G 4062.8A

### **Office of Juvenile Justice and Delinquency Prevention (OJJDP) Peer Review Guideline**

#### **Purpose**

This guideline establishes the procedures the Office of Juvenile Justice and Delinquency Prevention (OJJDP) will use in organizing and conducting peer reviews of applications submitted for discretionary funding to the Office of Juvenile Justice and Delinquency Prevention. This guideline replaces OJP G 4062.8 (October 15, 1990).

#### **Scope**

The provisions of this guideline apply to all discretionary grant applications submitted to OJJDP that require selection through a peer review process. This document is designed as a guide for applicants, peer reviewers, and OJJDP employees.

#### **Background**

- The Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, 42 U.S.C. 5601, *et seq.* (hereinafter referred to as the "Act"), as amended, requires that applications submitted to OJJDP for Part C discretionary funds be approved through a competitive process established by rule by the OJJDP Administrator. Programs carried out in declared disaster areas or programs that are uniquely qualified are exempt from this competitive application requirement.
- The Act further requires that programs be selected for OJJDP assistance through a formal peer review process using outside experts in fields related to the subject matter of the program, with the exception of assistance provided pursuant to Section 241(f) of the Act to an eligible organization comprised of member representatives of the State Advisory Groups.
- Accomplishing OJJDP's mission to provide a comprehensive and coordinated approach to the problems of juvenile delinquency is dependent, to a large extent, on the success of the programs and projects OJJDP funds. To foster this success, OJJDP makes careful and informed selections of projects for funding. A very important element of the project selection process is peer review. Peer review is the technical and programmatic evaluation of projects and applications by experts from outside the Department of Justice who are qualified by training and/or experience to evaluate and make recommendations with regard to proposed programs.



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## Peer Review Policy

- It is OJJDP's policy to use peer review to assess all competitive assistance applications and, on an optional basis, applications for continued funding beyond a program's original project period and noncompetitive awards to uniquely qualified applicants. The following types of awards are specifically excluded from competition and peer review requirements under the terms of the OJJDP Competition and Peer Review Regulation:
  - Funds transferred to OJJDP from another Federal agency to augment authorized juvenile justice programs, projects, or purposes.
  - Funds transferred to other Federal agencies from OJJDP for program purposes as authorized by law.
  - Procurement contract awards which are subject to applicable Federal laws and regulations governing the procurement of goods and services for the benefit and use of the Federal Government.
  - Assistance awards from the 5 percent set aside of Special Emphasis funds under Section 261(e) of the Act.
  - Assistance awards under Section 241(f) of the Act.
- Peer review recommendations are advisory and do not bind the OJJDP Administrator to make the recommended decision. However, the Administrator will give full consideration to peer review recommendations in selecting projects for awards.
- In special circumstances, a grant application may require a second review. When a second review is required, the cognizant Division Director will determine whether the second review panel will be composed of new reviewers, the original reviewers, or a combination of both. Circumstances that might necessitate a second review include:
  - During the course of a review, prejudiced, misleading, or false information was presented to or used by the Peer Reviewers.
  - A procedural error made the review process inconsistent with the program announcement, specific instructions to the applicants, or the OJJDP Competition and Peer Review Regulation.

## Definitions

- A **Peer Review Coordinator** is an OJJDP employee designated to oversee all aspects of the peer review process.
- **Competitive Awards** are made under OJJDP program announcements (published in the *Federal Register*) informing the public of the availability of funds for specific purposes and inviting formal applications (or, in some instances, Concept Papers). The selection criteria to be applied by the Peer Reviewers to a specific application are listed in each *Federal Register* announcement.
- The **Division Director** is the director of any one of the following OJJDP components: Research and Program Development Division; Special Emphasis Division; State Relations and Assistance Division; Training and Technical Assistance Division; Information Dissemination Unit; Concentration of Federal Efforts Program; or Missing and Exploited Children's Program.

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- **Financial Review** refers to review by the Office of Justice Programs, Office of the Comptroller, to determine whether the budgeted costs presented in an application are reasonable, allowable, and cost effective for the proposed activities. All applicants must meet OJP standards for fiscal integrity (as described in the current editions of the handbook on policies and procedures for OJP grants and the *Financial Guide*). A Financial Review is performed after the Administrator has decided to fund an applicant's project. Financial Review does not obviate the need for the Peer Reviewers to rate the application's response to the selection criteria for budget and cost effectiveness.
  - An **Internal Reviewer** is an officer or employee of the Department of Justice or other Federal agency qualified by experience and expertise to conduct appropriate application and program reviews.
  - An **Internal Review Group** consists of Internal Reviewers selected to review Concept Papers or applications submitted to OJJDP in response to a competitive program announcement, review noncompetitive applications, or review and evaluate the recommendations of a Peer Review Panel as part of the internal review process.
  - **Noncompetitive Awards** are made in the absence of program announcements inviting applications. These may include awards to continue a project's funding beyond the original project period or awards for uniquely qualified projects not subject to peer review.
  - A **Peer Reviewer** advises OJJDP on the merits of applications submitted for funding. A Peer Reviewer is an expert in a field related to the subject of a proposed program or in the implementation of that type of project and may not be an officer or employee of the Department of Justice.
  - **Peer Reviewer Recommendations** consist of ratings or summary rankings of Concept Papers or applications for the purpose of making recommendations regarding the selection of applications for OJJDP funding.
  - A **Peer Review Panel** consists of three or more experts selected to review, evaluate, and make recommendations on Concept Papers or applications submitted to OJJDP in response to a competitive program announcement.
  - A **Concept Paper** is an abbreviated application. Concept Papers may be requested by OJJDP for competitive programs for which a large number of applications are expected. Concept Papers will be reviewed by OJJDP staff or others who have expertise in the program area in order to eliminate applications that fail to meet minimum program or eligibility requirements, as specified in a program announcement, or clearly lack sufficient merit to qualify as potential candidates for funding consideration. Concept Papers may be subject to peer review.
  - A **Program Announcement** is a notice published in the *Federal Register* that invites applications for a specific program and set of requirements.
  - The **Program Manager** is a member of the OJJDP staff who is directly responsible for the specific applications under peer review.
  - A **Ranking** is an application's relative position, based on summary ratings, to other applications submitted for a specific program announcement.
  - **Ratings** are scores assigned by individual Peer Reviewers based on an application's response to the selection criteria specified in the program announcement.
  - **Summary Ratings** are the averages of the total scores assigned to each application by each Peer Reviewer.

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## Peer Review Procedures

- **Number of Peer Reviewers on Each Panel.** The number of reviewers on a Peer Review Panel will vary by program depending on the volume of applications anticipated or received and the range of expertise required. A minimum of three Peer Reviewers will review each application.
- **Peer Reviewer Approval.** The OJJDP Administrator approves qualified consultants to serve as Peer Reviewers for each application or group of applications based on recommendations provided by the Division Director.
- **Consultant Pool.**
  - An OJJDP technical support contractor maintains a pool of qualified consultants from which Peer Reviewers shall be selected. Any individual with requisite expertise may be selected from the pool with approval of the OJJDP Administrator or the Administrator's designee. This pool is maintained for peer reviews and other technical assistance purposes, and includes a sufficient number of experts to meet OJJDP's peer review needs.
  - The Consultant Pool is managed by an OJJDP support contractor. Consultants are subcontractors employed by the OJJDP support contractor. Consultant experts are continually added to the pool to maintain a wide range of expertise, experience, background, ethnicity, gender, and geographic representation. Consultants performing peer review are reimbursed by the support contractor at a flat rate established by OJJDP.
  - Individuals who wish to be considered for the Consultant Pool may submit their credentials to the Peer Review Coordinator or to the OJJDP support contractor, who will evaluate the consultants' qualifications. Reviewers who fail to satisfactorily complete their assignments may not be reimbursed for their work.
- **Selection of Peer Review Panels.**
  - The Program Manager may recommend qualified reviewers to the support contractor and will ask the support contractor to provide a listing of qualified reviewers in specific topical areas. A consultant expert must be enrolled in the Peer Review Pool to be eligible to serve as a reviewer.
  - Based on the list received from the support contractor, the Program Manager and the Division Director will recommend potential reviewers from the Consultant Pool. The Administrator will approve reviewers from this list or ask for additional qualified consultant experts enrolled in the Consultant Pool.
  - The Program Manager and the Division Director will submit their recommendations via a memorandum to the OJJDP Administrator. The proposed reviewers should be listed in order of preference with a brief biography attached to the recommendation memorandum. A copy of the memorandum shall be provided to the Peer Review Coordinator, who will notify the support contractor and the Division Director following approval of the Peer Reviewers.
  - When considering candidates for a Peer Review Panel, the Program Manager and Division Director should recommend a highly qualified group that represents expertise related to the individual applications under review. Each panel should be structured to provide broad representation and many views on matters under the Peer Review Panel's consideration. Some considerations that should help achieve reasonable balance on the Peer Review Panel are:

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- Each member of the panel should have expertise in or complementary to the subject area under review. This does not preclude using youth representatives.
  - When possible, the Peer Review Panel should comprise researchers, practitioners, and academicians.
  - Panel members should be drawn from as wide a geographic area as is practical and should represent both urban and rural perspectives.
  - Special attention should be paid to recommending qualified women and minorities.
  - When appropriate, the Peer Review Panel should be composed of a diverse group of experts from the public and private sectors, including community-based youth-serving organizations.

## **Internal Review**

- An internal review of applications or Concept Papers will be conducted by the Program Manager and/or by designated Department of Justice staff.
- The first stage of the internal review will determine if the application complies with minimum program and statutory requirements. Applications that do not meet basic requirements will not be forwarded to a Peer Review Panel. Applicants whose proposals are rejected during the first internal review stage will be notified in writing of the reasons for the rejection. Examples of reasons for first stage rejection may include, but are not limited to, applications proposing activities other than those called for in the program announcement, applications proposing to serve a target population different from that specified in the program announcement, and applications from agencies or organizations that do not possess the qualifications specified in the program announcement.
- A second internal review will be conducted by the Program Manager after the completion of the external peer review. This may be supported by other Internal Reviewers and/or an Internal Review Group. Following the second internal review, the Program Manager will prepare a memorandum through the Division Director to the Administrator describing the review process, the conclusions and recommendations of the reviewers, the scores received by the application, any significant problems encountered during the review, suitability of the applicant, and significant recommendations for modifying or enhancing the application recommended for funding. The memorandum will provide a formal recommendation concerning applications recommended for grant awards.

## **Peer Review**

- Peer reviews may be conducted by mail, conference call, in meetings, through a combination of the three, or through electronic means; a peer review meeting is preferred when practical. These peer review meetings facilitate useful dialog among the experts, provide an opportunity for the reviewers to seek clarification from the Program Manager concerning program and technical requirements, and, through careful monitoring, ensure that each application receives equal consideration.
- Infrequently, Peer Reviewers and/or Program Managers need to make site visits. In all instances, OJJDP determines the necessity of site visits. Should a Peer Review Panel believe that a recommendation cannot be finalized without a site visit, the Peer Review Panel should make a request to the Peer Review Coordinator, who will present the request to the Division Director for approval.

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- For peer reviews that involve meetings, Peer Review Panel members will be assembled for instruction, including a review of the program announcement, selection criteria, and peer review procedures. The Peer Review Coordinator will provide general oversight for the peer review meeting. The Program Manager will be available to interpret the program announcement and provide objective information concerning program requirements. The OJJDP support contractor will provide staff to facilitate and record the meeting and prepare a summary of the proceedings.
  - If OJJDP determines a need for reviewer communication, a conference call may be arranged among OJJDP staff, the support contractor, and the reviewers to discuss the applications.

## **Selection Criteria**

- All OJJDP applications are, at a minimum, rated on the extent to which they meet the general selection criteria listed below:
  - The problem to be addressed by the project is clearly stated.
  - The objectives of the proposed project are clearly defined and the outcomes are measurable.
  - The project design is sound and contains program elements directly linked to the achievement of project objectives.
  - The project management and overall organizational capability demonstrate the applicant's capacity to successfully operate and support the project.
  - Budgeted costs are reasonable, allowable, and cost effective for the proposed activities.
- These criteria can also be enhanced to more clearly define the program requirements. Each competitive program announcement will indicate any additional program-specific review criteria to be considered in the peer review for that program. The assigned points for each criterion will be specified in the program announcement.

## **Scoring Applications**

- The maximum score for each criterion shall be indicated in the program announcement, and the total possible score for all criteria shall equal 100 points.

For example:

- Statement of the problem—15 points.
- Definition of objectives—15 points.
- Project design—30 points.
- Project management and organizational capability—30 points.
- Reasonableness of costs—10 points.

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- Competitive applications will be rated by each Peer Reviewer according to the selection criteria. Summary ratings will be calculated from the numerical scores assigned to each application by the individual reviewers. The ranking of each application will be based on its summary rating. The rating categories are as follows:
    - 90–100 points      Responsive with no revisions required.
    - 80–89 points      Responsive with minor revisions required.
    - 70–79 points      Responsive with significant revisions required.
    - 60–69 points      Minimally responsive with major deficiencies that would require extensive correction.
    - 0–59 points      Not responsive and not sufficient to receive funding.

## **Results of Peer Review**

- Peer review recommendations, in conjunction with the results of the internal review, assist the Administrator in the final selection of applications for funding.
- Peer Reviewers are encouraged to make suggestions for enhancing proposals.
- Occasionally, supplementary reviews are necessary. Supplementary reviews are performed by a Peer Reviewer for particular programs or project applications for the following reasons:
  - The applicant included highly technical aspects that initial Peer Review Panel members were not qualified to address.
  - Conflicts of interest or other disqualifying circumstance within the Peer Review Panel resulted in an insufficient number of valid peer reviews.

## **Standards of Conduct**

All Peer Review Panelists will be treated as “special Government employees” (18 USC 202(a)) and, as such, are held to Department of Justice Standards of Conduct (28 C.F.R., Part 45).

## **Conflicts of Interest**

In addition to the general Department of Justice conflict of interest rules set forth in its Standards of Conduct, OJJDP Peer Reviewers are subject to the OJJDP Peer Review Policy with respect to conflicts of interest.

- It is OJJDP’s policy to prohibit a Peer Review Panel member from participating in the review of any application when he or she has a real or potential conflict of interest, such as:
  - The Peer Reviewer has been, or would be, directly involved in the project (e.g., as a current or past advisory board member, consultant, collaborator, or conference speaker whose expenses would be paid from the grant).
  - The Peer Reviewer is employed by the same institution or organization as the applicant or was employed there within the past year.

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- The Peer Reviewer and the applicant collaborated within the past year on work related to the proposal.
  - The Peer Reviewer is or has been under consideration for a position at the applicant's organization or institution.
  - The Peer Reviewer served in an official capacity with the applicant's organization within the past year.
  - The Peer Reviewer's organization has members or closely affiliated officials (e.g., board of trustees members) who serve in an official capacity with the applicant's organization or institution.
  - The Peer Reviewer and the applicant have a familial relationship.
  - The Peer Reviewer had relations with the project director, or other key personnel identified in the application, as a student, thesis advisor, or postdoctoral advisor.
  - The Peer Reviewer and applicant are known to be either close friends or open antagonists.
  - The Peer Reviewer has a proposal planned for submission to OJJDP or currently under review by OJJDP within the same subject area as the proposed project.
  - The Peer Reviewer was declined for an OJJDP project, had a substantial budget reduction in an OJJDP-funded project, or incurred other unfavorable action from OJJDP.
  - The Peer Reviewer is currently involved in a project closely associated with the proposed project.
- The aforementioned situations should be considered by the Program Manager before a Peer Reviewer is recommended for a Peer Review Panel, and by the OJJDP support contractor and panelist before the proposed panelist accepts an invitation to serve on a specific review. Should a conflict of interest, or the appearance of a conflict of interest, develop after the individual has been selected, it should be brought to the attention of the Peer Review Coordinator by the Program Manager, Division Director, OJJDP support contractor, or Peer Reviewer.
  - During the course of a review, should a Peer Reviewer question that he/she may have a conflict of interest or the appearance of a conflict, the reviewer should immediately notify the Peer Review Coordinator or the support contractor's representative assigned to facilitate the review.

## **Confidentiality**

Peer Review Panel members, OJJDP staff, and the support contractor must treat as absolutely confidential all application materials, reviewer identities, comments, deliberations, and recommendations of the Peer Review Panel. Panelists are prohibited from providing any information before, during, and after the review regarding their deliberations or recommendations to anyone outside the peer review process. Application materials and information about the Peer Review Panelists' discussion or recommendations on particular applications must not be divulged to, or discussed with, any persons not involved in the review process. Should a Peer Review Panel member receive a request for application materials or information about panel discussions or recommendations, the reviewer must notify the Peer Review Coordinator. Any persons requesting information about the review process, or about a specific application, should be referred to the Peer Review Coordinator.

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## Informing Applicants of Peer Reviewer Comments

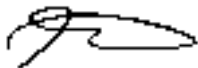
An unsuccessful applicant may submit a written request for information about the peer review of its proposal, including a summary that specifies the strengths and weaknesses of the application, copies of the panelists' ratings and comment sheets, and a matrix of panelists' scores. Panelist identification is removed from these materials before they are provided to applicants who request them. Requests for information about the peer review of an applicant's proposal should be submitted in writing to the Program Manager. A copy of the request should be forwarded by the Program Manager to the Peer Review Coordinator.

## Compensation

All Peer Reviewers will be eligible to be paid a consultant fee in accordance with Par. 6c. (2) of this guideline. In addition, Peer Review Panelists are eligible for reimbursement for travel expenses, including a per diem for lodging and meals, as authorized by Section 5703 of Title 5, United States Code. Vouchers and any necessary reimbursement forms will be provided to reviewers by the support contractor.

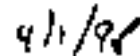
## Managing the Peer Review Process

A technical support contractor assists the Peer Review Coordinator with managing the peer review process. The contractor identifies and secures the meeting site, records and summarizes the meeting, and reimburses the panelists for travel, lodging, and consulting fees.



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SHAY BILCHIK  
Administrator



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Date



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# **Appendix D: Contact Lists**

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## State Advisory Groups, State Planning Agencies, and Juvenile Justice Specialists

As defined in the Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, as amended, funding is provided to States for the prevention, intervention, and treatment of juvenile delinquency. The Chief Executive Officer is responsible for designating the State agency with the responsibilities for carrying out the requirements of the JJDP Act. In addition, a Juvenile Justice Specialist is appointed and has responsibilities for developing a 3-year plan and administering the formula grants program, which provides grants to local units of government and private nonprofit organizations to prevent and control delinquency.

The JJDP Act provides for a State advisory group (SAG), which is appointed by the chief executive officer, consisting of not less than 15 and not more than 33 members who have training, experience, or special knowledge concerning the prevention and treatment of juvenile delinquency or the administration of juvenile justice. The chair of the SAG is designated by the chief executive officer and is responsible for insuring the SAG's participation in the development and implementation of the State's JJDP 3-year plan. The following directory lists them by State and territory.

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*Disproportionate Minority Confinement: 1997 Update.* 1998, NCJ 170606 (12 pp.).

*Disproportionate Minority Confinement: Lessons Learned From Five States.* 1998, NCJ 173420 (12 pp.).

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## Courts

*Guide for Implementing the Balanced and Restorative Justice Model.* 1998, NCJ 167887 (112 pp.).

*Innovative Approaches to Juvenile Indigent Defense.* 1998, NCJ 171151 (8 pp.).

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*Offenders in Juvenile Court, 1996.* 1999, NCJ 175719 (12 pp.).

*RESTTA National Directory of Restitution and Community Service Programs.* 1998, NCJ 166365 (500 pp.), \$33.50.

*Trying Juveniles as Adults in Criminal Court: An Analysis of State Transfer Provisions.* 1998, NCJ 172836 (112 pp.).

*Youth Courts: A National Movement Teleconference (Video).* 1998, NCJ 171149 (120 min.), \$17.

## Delinquency Prevention

*1998 Report to Congress: Juvenile Mentoring Program (JUMP).* 1999, NCJ 173424 (65 pp.).

*1998 Report to Congress: Title V Incentive Grants for Local Delinquency Prevention Programs.* 1999, NCJ 176342 (58 pp.).

*Combating Violence and Delinquency: The National Juvenile Justice Action Plan (Report).* 1996, NCJ 157106 (200 pp.).

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*1996 National Youth Gang Survey.* 1999, NCJ 173964 (96 pp.).

*Gang Members on the Move.* 1998, NCJ 171153 (12 pp.).

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*The Youth Gangs, Drugs, and Violence Connection.* 1999, NCJ 171152 (12 pp.).

*Youth Gangs in America Teleconference (Video).* 1997, NCJ 164937 (120 min.), \$17.

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*Juvenile Justice, Volume V, Number 1.* 1998, NCJ 170025 (32 pp.).

*A Juvenile Justice System for the 21st Century.* 1998, NCJ 169726 (8 pp.).

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*OJJDP Research: Making a Difference for Juveniles.* 1999, NCJ 177602 (52 pp.).

*Promising Strategies To Reduce Gun Violence.* 1999, NCJ 173950 (253 pp.).

*Sharing Information: A Guide to the Family Educational Rights and Privacy Act and Participation in Juvenile Justice Programs.* 1997, NCJ 163705 (52 pp.).

## Missing and Exploited Children

*Portable Guides to Investigating Child Abuse* (13-title series).

*Protecting Children Online Teleconference (Video).* 1998, NCJ 170023 (120 min.), \$17.

*When Your Child Is Missing: A Family Survival Guide.* 1998, NCJ 170022 (96 pp.).

## Substance Abuse

*The Coach's Playbook Against Drugs.* 1998, NCJ 173393 (20 pp.).

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*Preparing for the Drug Free Years.* 1999, NCJ 173408 (12 pp.).

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*Guide for Implementing the Comprehensive Strategy for Serious, Violent, and Chronic Juvenile Offenders.* 1995, NCJ 153681 (255 pp.).

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