

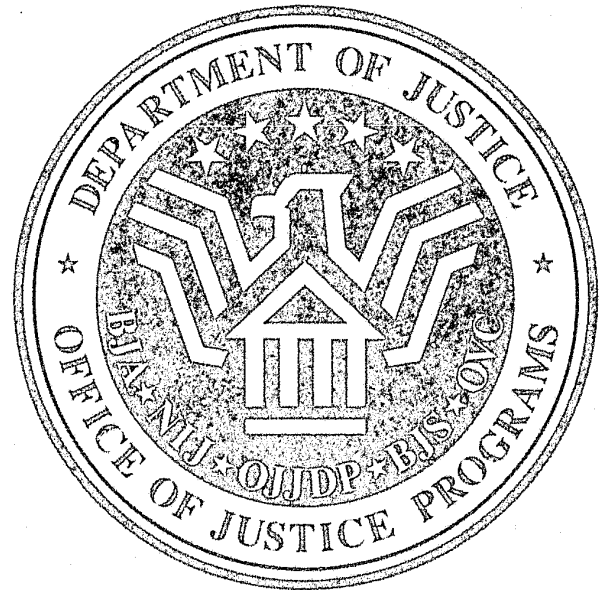
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U.S. Department of Justice
Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention



OJJDP
**Office of Juvenile Justice and
Delinquency Prevention**

Missing and Exploited Children Program



137219

**FY 1992 DISCRETIONARY PROGRAM
ANNOUNCEMENT APPLICATION KIT**

137219

NCJRS

AUG 31 1992

ACQUISITIONS

OJJDP

**Office of Juvenile Justice and
Delinquency Prevention**

Missing and Exploited Children Program

137219

U.S. Department of Justice
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**FY 1992 DISCRETIONARY PROGRAM
ANNOUNCEMENT APPLICATION KIT**

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

U.S. Department of Justice

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633 Indiana Avenue NW., Washington, DC 20531
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The Assistant Attorney General, Office of Justice Programs, coordinates the activities of the following program Offices and Bureaus: the Bureau of Justice Statistics, National Institute of Justice, Bureau of Justice Assistance, Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime.

**Office of Juvenile Justice
and Delinquency Prevention**
633 Indiana Avenue NW., Washington, DC 20531
(202) 307-5911

From the Administrator:

This Application Kit contains essential information for discretionary grant applicants that should simplify the application process for both new and supplemental awards.

It is designed to facilitate access to grants by individuals and organizations that typically do not compete for Federal funds and that are unfamiliar with the application process.

Should you have any questions about the grant application process, please contact the OJJDP staff person listed at the end of each program announcement in the Competitive Programs section of this Application Kit. We would like to assist you in any way we can.

Gerald (Jerry) P. Regier
Acting Administrator

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Introduction and Program Update

The Missing and Exploited Children Program was established by Congress through the 1984 Missing Children's Assistance Act as Title IV of the Juvenile Justice and Delinquency Prevention Act, as amended. The Office of Juvenile Justice and Delinquency Prevention (OJJDP) in the Office of Justice Programs, U.S. Department of Justice, is the Federal agency that has the responsibility for administering the Missing and Exploited Children's Program.

The Missing Children's Assistance Act requires OJJDP to facilitate coordination among all federally funded programs relating to missing children; to establish and operate a national 24-hour toll-free telephone line; to establish and operate a national resource center and clearinghouse; to coordinate public and private programs that locate, recover, and reunite missing children with their legal custodians; to disseminate nationally information about effective missing children's programs, services, and legislation; and to provide technical assistance and training to law enforcement, State and local governments, the criminal justice system, public and private agencies, and other individuals involved with missing children's cases.

OJJDP funds and coordinates many activities on behalf of missing children, including the National Center for Missing and Exploited Children; a network of 43 State clearinghouses, nonprofit organizations, research and demonstration programs; and systems of training and technical assistance for law enforcement personnel, judges, and prosecutors. OJJDP sponsors a comprehensive 5-day training program for law enforcement officers on the investigation of abused, missing, and exploited children and a new, technical assistance course focusing on advanced techniques for investigation of cases of missing and exploited children. OJJDP also provides assistance to the Department of Defense in the design of an extensive child maltreatment investigative course for the military and works with the Office for Victims of Crime and the Bureau of Indian Affairs to train tribal police on Indian lands.

The National Center for Missing and Exploited Children (NCMEC) uses the latest in advanced computer technology to assist in the timely collection and dissemination of leads and information on missing children's cases. Currently, NCMEC is updating photos of children missing for 2 years or longer using computer photo age-progression technology. State clearinghouses for missing children are being linked to NCMEC via computer. To meet the increasing number of requests for age progression, regional age-progression technology labs will be established in three or four State clearinghouses. Valuable technical assistance is provided through the National Center for Missing and Exploited Children to law enforcement investigators on individual missing children's cases. Assistance and referrals are also offered to parents and families of missing and exploited children. A new program, "Project ALERT," is now underway through NCMEC to recruit and train retired law enforcement officers to provide consultation and specialized technical assistance on breaking cases or long-term missing child investigations to police departments and other law enforcement agencies, upon their request.

Culminating a 5-year effort, the first findings of the National Incidence Study of Missing, Abducted, Runaway and Thrownaway Children (NISMART) were released in May 1990. NISMART identified distinct and separate problems affecting five categories of children who are missing or displaced, including victims of family abductions. Further research is continuing to develop an array of responses for each problem area. Major research projects are nearing completion on the following issues: obstacles to the recovery and return of parentally abducted children; police handling of missing and exploited children cases; the child victim as witness; the psychological consequences of family and nonfamily abductions and runaway episodes on children and their families; and the problems of reunification of missing children with their families. Additional data analysis of the first NISMART study (ADD-NISMART) will be performed to study the high number of attempted abductions identified, the category of "lost, injured, and otherwise missing" children, as well as other issues. OJJDP

expects that directions for further research in these areas will be indicated. FY 1992 funds are provided for research programs that will focus on the sexual exploitation of children and tracking of these cases; effective screening practices for child and youth service workers; and risk factors and promising interventions in parental abduction cases. An ongoing Interagency Agreement with the FBI Academy's Behavioral Science Unit is providing valuable information and analysis through profiles of child molesters, abductors who kill their child victims, and infant abductors. Other Missing and Exploited Children Program projects seek to reduce the harmful effects of abduction and exploitation of missing children on the children and their families and to prosecute offenders.

A number of research projects will be completed and are scheduled for publication in 1992:

- Legal Obstacles to the Recovery and Return of Parentally Abducted Children.
- The Reunification of Missing Children Project.
- Families of Missing Children: Psychological Consequences and Promising Interventions.
- A National Study of Law Enforcement Agencies' Policies and Practices Regarding Missing Children and Homeless Youth.
- The Child Victim as Witness.

Additional publications scheduled for FY 1992 include a prosecutors' manual on child pornography cases. In addition, a number of existing publications will be updated or rewritten. These include "Parental Kidnapping," "Interviewing Child Victims of Sexual Exploitation," and "Investigator's Guide to Missing Child Cases." A new "Case in Point" series focusing on individual missing child cases will be introduced. Through the crime analysis units of program sites, the Missing and Exploited Children Comprehensive Action Program (M/CAP) will publish a number of monographs and technical assistance bulletins on specialized topics.

The Missing and Exploited Children Program will participate in a number of joint or coordinated projects with other Department of Justice programs as well as other Federal agencies. A multisite study jointly funded by the National Institute of Justice (NIJ) and OJJDP and administered by NIJ will examine justice system processing of child maltreatment cases. OJJDP is coordinating planning for NISMART II with the third national incidence study on child abuse and neglect, NIS III, which is funded by the Department of Health and Human Services (HHS). OJJDP and HHS will also jointly sponsor a working meeting on the interaction and handling of child maltreatment cases by law enforcement and child protective services.

Application and Administrative Requirements

Eligible Applicants

Applications are invited from eligible agencies, institutions, or individuals, public or private. Private-for-profit organizations are not eligible for special emphasis grants but are for other grants; however, they must waive their fee in order to be eligible.

Applicants must demonstrate that they have the management and financial capability 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.

Application Requirements

All applicants must submit a completed Standard Form 424, Application for Federal Assistance; Standard Form 424A, Budget Information; OJP Form 4000/3, Program Narrative and Assurances; and OJP Form 4061/6, Certifications. All applications must include the information required by the specific solicitation as well as the Standard Form 424.

The SF-424 must appear as a cover sheet for the entire application. The project summary should follow the SF-424. All other forms must then follow. Applicants should be sure to sign OJP Forms 4000/3 and 4061/6. Applicants are requested to submit the original signed application (SF-424) and four copies to OJJDP. Application forms and supplementary information are provided in the appendixes of this Application Kit. Potential applicants should review the OJJDP Peer Review Guideline and the OJJDP Competition and Peer Review Procedures in Appendix B.

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 \$25,000.

Applicants who are receiving other funds in support of the proposed activity should list the names of the other organizations that will provide financial assistance to the program and indicate the amount of funds to be contributed during the program period. Provide the title of the project, name of the public or private grantor, and amount to be contributed during this program period. Give a brief description of program.

In addition to the above requirements the following information is requested to be included in the solicitation requirements:

1. Is this application closely related to, a continuation of, or a revision of another current, recent or expected project supported by funds awarded by another agency? If the answer to any of the above is yes, provide the following information:
 - a. List the names of any organizational units that will undertake any part of assisting in this other particular program activity.

b. Enter the title of the other project, the name of the public or private grantor and amounts requested or to be contributed during this program/budget period.

c. Give a brief description of the program.

Applications and copies must be sent to the following address:

Office of Juvenile Justice
and Delinquency Prevention
633 Indiana Avenue NW.
Washington, DC 20531

Applications must be received by mail or delivered to OJJDP by 5 p.m. on the date specified in the solicitation. Delivered applications must be taken to the designated room at the above-mentioned address between the hours of 8 a.m. and 5 p.m., except Saturdays, Sundays, or Federal holidays. Those applications postmarked after the deadline dates will not be considered.

OJJDP will notify applicants in writing of the receipt of their application. Subsequently, applicants will be notified by letter as to the decision made regarding whether or not their submission will be recommended for funding.

To comply with Executive Order 12372, applicants from State and local units of government or other organizations providing services within a State must submit a copy of their application to the State Single Point of Contact, if one exists, and if the program has been selected for review by the State. A list of the State single points of contact is provided in Chapter 3 of this kit.

Application Review Process

All applications will be reviewed by a panel of experts who will make recommendations to the Administrator per Section 262 of the JJDP Act and 28 CFR, Part 34. The panel will assign numerical values by rating competing applicants based on the point distribution identified in the Selection Criteria section for each program solicitation in this publication. Peer reviewers' recommendations are advisory only and the final award decision will be made by the Administrator. OJJDP will negotiate specific terms of the awards with the selected applicants.

Evaluation

OJJDP requires that funded programs contain plans for continuous self-assessment to keep program management informed of progress and results. Many funded projects will be considered for participation in independent evaluations initiated by OJJDP. Project management will be expected to cooperate fully with designated evaluators.

Discretionary Grant Continuation Policy

OJJDP has listed those Part C and Part D projects currently funded and eligible for continuation funding in Fiscal Year 1992. Continuation funding consideration for new project periods for previously funded discretionary grant programs will be based upon several factors. These include availability of funds, the extent to which the project responds to the applicable requirements of the JJDP Act, responsiveness to OJJDP and OJP Fiscal Year 1992 program priorities, compliance with performance requirements of prior grant years, compliance with OJP fiscal and regulatory requirements, and any special conditions of award. Continuation funding for a new budget period within an existing project period depends upon grantee compliance with established conditions of eligibility for additional budget period funding, and achievement of the prior year's objectives.

With the exception of Part D of the JJDP Act (42 U.S.C. 5667-5667a) and training programs funded under Section 244 of the JJDP Act (42 U.S.C. 5654), all programs recommended for continuation funding for a new project period must be found to be of outstanding merit through a peer review process in order to be eligible for an award without competition. Training programs otherwise eligible for continuation award without competition will require a written determination by the Administrator that the applicant is uniquely qualified to provide the proposed training services and that other qualified sources are not as capable of providing such services.

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 *Financial and Administrative Guide for Grants*, Office of Justice Programs, Guideline Manual, M7100.1D available from the Office of Justice Programs. This guideline manual includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. This manual will be provided to all successful applicants.

Civil Rights Requirements

Sec. 809 (c)(1) of the Omnibus Crime Control and Safe Streets Act (OCCSSA) of 1968, as amended, applicable to OJJDP-funded programs and projects under Section 292(b) of the JJDP Act, provides that no person in any State shall on the grounds of race, color, religion, national origin, or sex be excluded from participation in, be denied the benefits of, be subjected to discrimination under, or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title. Recipients of funds under the Act are also subject to the provisions of Title VI of the Civil Rights Act of 1964; Sec. 504 of the Rehabilitation Act of 1974, as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1974; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G. Upon request, applicants shall maintain such records and submit to OJJDP or OJP timely, complete, and accurate information regarding their compliance with the foregoing statutory and regulatory requirements.

In the event a Federal or State court or a Federal or State administrative agency makes a finding of discrimination after a due process hearing, on the grounds of race, color, religion, national origin, or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights (OCR) of the Office of Justice Programs.

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

Applicants should refer to the regulations cited in OJP Form 4061/6 to determine the certification to which they are required to attest. A copy of the OJP Form 4061/6 is provided in the appendixes of this Application Kit. 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.

Audit Requirements

In October 1984, Congress passed the Single Audit Act of 1984. On April 12, 1985, the Office of Management and Budget issued Circular A-128, "Audits of State and Local Governments," which establishes regulations to implement the Act. OMB Circular A-128, "Audits of State and Local Governments," outlines the requirements for organizational audits which apply to OJJDP grantees.

Institutions of higher education, hospitals, and other nonprofit organizations have the responsibility to provide for an audit of their activities not less than every 2 years. The required audits are to be on an organization-wide basis rather than on a grant-by-grant basis.

Disclosure of Federal Participation

Section 8136 of the Department of Defense Appropriations Act (Stevens Amendment), enacted in October 1988, requires that, "when issuing statements, press releases for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, and (2) the dollar amount of Federal funds for the project or program."

Suspension or Termination of Funding

OJJDP may suspend, in whole or in part, or terminate funding for a grantee for failure to conform to the requirements or statutory objectives of the JJDP Act. Prior to suspension of a grant, OJJDP will provide reasonable notice to the grantee of its intent to suspend the grant and will attempt informally to resolve the problem resulting in the intended suspension. Hearing and appeal procedures for termination actions are set forth in the Department of Justice regulation at 28 CFR Part 18.

Continuing Programs With New Awards

Missing and Exploited Children Comprehensive Action Program (M/CAP)

Purpose: The purpose of this solicitation is to aid local communities in preventing abduction and exploitation of children, to provide information to assist in locating and recovering missing children, and to minimize the negative effects and consequences of abduction, serious runaway episodes, and exploitation on children and families through enabling individual communities to develop and maintain a multi-disciplinary, coordinated approach to these children and their families. This award will continue the national development, maintenance, and management of existing M/CAP program services.

Background: In recent years, the public has demanded that greater priority be given to crimes against children. M/CAP was designed to provide for a comprehensive community response to those missing children who run away or are abducted by non-family or family members and who are, as a consequence, in danger of exploitation, abuse, injury, and death. The M/CAP program is also designed to enable communities to improve education and prevention services with regard to missing and exploited children.

OJJDP considers the M/CAP program approach to the problem outlined in this solicitation to be an effective and cost-efficient way to provide a comprehensive approach to State and local agencies that will enable them to respond effectively to the problems and needs of missing children and their families. This is done through a process which facilitates the development of multi-agency teams and protocols and provides ongoing training and technical assistance support to these community-based teams. Each participating community develops its team and implementation plan according to the specific needs, resources and priorities of the community. M/CAP focuses on improving the knowledge and skill levels of the agencies involved and on improving the way existing agencies interact and coordinate information and services. M/CAP is designed so that staff time is the only cost to the participating agencies.

What is required of the participating communities is commitment from agency heads and a community assessment process to determine service requirements and existing municipal agency capabilities. The information gathered from the assessment process is utilized to develop site-specific training curricula for an intensive 5 day multi-agency program development and implementation workshop, including training manuals for instructors and participants in the 5-day training program. The M/CAP program provides follow-up technical assistance and specialized training activities for each program site.

Sections 404 and 405 of the Act and the 1987 Report of the Attorney General's Advisory Board on Missing and Exploited Children identify a number of recommendations designed to improve the response to missing children and the abuse or sexual exploitation which may be a result. These recommendations constitute the principal elements of the M/CAP plan of community action. These recommendations include:

- Multi-agency guidelines for reporting and investigating missing and exploited children cases;
- Training for juvenile services and law enforcement agencies in awareness and investigation of child abductions, runaway children and the abuse and exploitation that may result;
- Policies and procedures for juvenile services agencies to ensure that thorough background checks and investigations are conducted on persons working with children;

-
- Family and Juvenile Court policies to promote the exchange of case-appropriate information between agencies dealing with missing and exploited children;
 - Programs to alleviate the trauma and intimidation that many missing children experience in court proceedings;
 - Case management practices in cases involving abusers, abductors, and exploiters of missing children which produce more informed case disposition decisions by the court;
 - School policies and procedures for flagging, recording, reporting, and documenting school transfer records in order to prevent the concealment of abducted children; and
 - Public awareness and prevention programs for the community on missing children, child abuse, child exploitation, and child abduction.

Previous program activity has focused on several components: (1) the assessment of effective approaches to multi-agency team building, existing literature, and training materials; (2) the development of required procedures, assessment tools, and program and training materials; and (3) the development of four test sites. The four sites include Decatur, Illinois; Hillsborough County, Florida; Richland County, South Carolina; and Reno, Nevada. These sites were among those that requested to participate in M/CAP, successfully completed the community assessment process, and represent an array of populations and characteristics.

M/CAP is currently operating under a cooperative agreement (#88-MC-CX-K001) with Public Administration Service (PAS) in McLean, Virginia. Program information and materials are available upon request from the OJJDP staff person listed as the program contact at the end of this solicitation.

Goal: The primary goal of M/CAP is to provide expert specialized training and technical assistance for improved agency information sharing and enhanced management of resources and services in cases of missing and exploited children.

Objectives: The objectives of the M/CAP Program are:

1. To identify and assess promising and effective community organization planning strategies and procedures for responding to the needs of missing and exploited children;
2. To help municipal agencies implement programs which respond to the needs of missing and exploited children; and
3. To disseminate promising and effective program development and implementation techniques for localities to respond to the needs of missing and exploited children.

Program Strategy: By the end of the three year project period, M/CAP will have developed 10 host sites, twenty satellite sites, and 60 affiliate sites. The first tier of 10 host sites will consist of sites that have the capability to be program training and technical assistance platforms and model sites for the M/CAP program process. The 20 satellite sites, which represent the second tier, will be selected from those sites which have successfully completed the community assessment process and demonstrated promising program implementation potential. These satellite sites will share in selected host site training and M/CAP implementation assistance delivered by OJJDP. It is anticipated that there will be at least one state-wide program based on this model. The third tier of up to 60 affiliate sites are jurisdictions which have requested information on the M/CAP program process and wish to be involved in a more unstructured, self-help M/CAP program development. This last tier may consist of small communities which would like the benefit of information and training, but do not need an active and on-going M/CAP team in their community.

The applicant will conduct training based on previously developed programs, with priority training provided to host and satellite sites. It will hold collective training workshops for affiliate sites when feasible. Program implementation assistance will require the utilization of existing training capabilities (facilities, talent and equipment) and the development of additional topic-specific curricula, training materials, and trainers which may be required for the expanded program. Technical assistance through information dissemination will require the continued development, production, and distribution of a variety of written guides and materials.

The applicant will develop and provide to the M/CAP site teams specialized training programs related to issues of missing and exploited children. The applicant will work with host sites to develop up to eight specialized training and technical assistance components for national M/CAP program replication workshops. The applicant will also train practitioners in host sites to act as mentors in satellite and affiliate sites. The specialized training projects will be developed according to the training needs identified by the community agencies participating in M/CAP, such as training for mental health professionals in providing reunification services for missing children and their families. Most training will be cross-disciplinary in nature, but some components will be tailored for individual professions.

The successful applicant will assist M/CAP sites in developing data collection and applied research on missing and exploited children in their communities. As other OJJDP-sponsored research on missing and exploited children is made available, the grantee will be expected to incorporate appropriate and relevant information and findings into M/CAP training and technical assistance components.

Eligibility Requirements: Applications are invited from public agencies or private nonprofit organizations. Applicant organizations may choose to submit joint proposals with other eligible organizations, as long as one organization is designated as the applicant, and co-applicants are designated as such. The applicant and any co-applicant(s) must demonstrate, in addition to program knowledge and support experience, programmatic and fiscal management capabilities to implement a project of this size and scope effectively. Applicants who fail to demonstrate that they have the experience and capability to manage a program of this size and complexity will be ineligible for funding consideration.

Specific Eligibility Requirements:

1. The applicant must demonstrate the requisite knowledge of and experience with missing and exploited children issues necessary to provide capable, responsible management of a national demonstration program.
2. The applicant must demonstrate the experience and capability to provide timely, relevant professional services in order to assure successful program continuity.
3. The applicant must demonstrate the ability to develop and provide training related to missing and exploited children issues as well as service-oriented training materials to the recipient jurisdictional, professional, citizen, and community needs as they have been described in this solicitation.
4. The successful applicant must demonstrate the technical and management capability that will be required to provide an M/CAP service delivery program to incorporate as many as 90 jurisdictions into a three tiered M/CAP program development effort.
5. The applicant must demonstrate experience and expertise in providing technical assistance to a diverse audience requiring such services with regard to the missing and exploited children issues described in this solicitation. The applicant must demonstrate the capability to provide the required information technology and consultant expertise in order to produce a varied array of relevant training and program implementation guides and trainers for appropriate national program audience needs.

Selection Criteria: In general, all applications will be reviewed in terms of their demonstrated past, present, and potential ability to provide the requisite services and products as they are described in this solicitation.

The applicants will be evaluated and rated based on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (10 points)

The applicant must demonstrate a clear understanding of, and competence to deal with issues relating to missing and exploited children and the needs of the agencies who serve them.

2. Statement of Goals and Objectives. (15 points)

The goals and objectives to be achieved by the project must be clearly defined, and expressed in operational terms consistent with the issues and performance requirements set forth in the problem statement(s).

3. Project Design. (20 points)

The applicant must propose a project design, including a work plan, specific procedures to be carried out, performance schedules, expected accomplishments and products. The design must be consistent with the project's goals and objectives, and with the conceptualization of the problem statement.

4. Project Management. (20 points)

The project's management structure and staffing must be appropriate for the successful implementation of the project. Key staff members should have significant experience in program management and in subject area(s) related to those addressed in this announcement.

5. Organizational Capability. (25 points)

The applicant's ability to conduct the project successfully must be clearly documented in the proposal. The documentation should include organizational experience in conducting projects of the scope and complexity reflected in this program announcement. The applicant should demonstrate program management and information technology capabilities sufficient to perform the tasks described and defined in this solicitation.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable, and cost effective vis-a-vis the activities to be performed.

Award Period: The award will be for a project period of three years. One cooperative agreement will be awarded with an initial budget period of 12 months.

Award Amount: Up to \$1,100,000 has been allocated for the initial 12 month budget period. Applicants should include an estimated budget for the second and third 12 month budget periods.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Robert O. Heck, Special Emphasis Division, at (202) 307-5914.

Investigation and Prosecution of Parental Abduction Cases.

Purpose: The purpose of this project is to improve the response of the justice system to parentally abducted children and to reduce the incidence of abductions of children by family members by providing training and technical assistance to prosecutors and investigators.

Background: This is a continuing program which requires a new award. Conducted by the National Center for the Prosecution of Child Abuse, one of the research arms of the National District Attorney's Association (NDAA), the first stages of this project successfully produced legal research, including (1) a review of relevant case law and statutes, (2) the collection and review of existing information on prosecutorial handling of family abductions and related issues, and (3) a survey of prosecutors to identify effective approaches to addressing issues in the area, a trial manual, and a training curriculum for prosecutors responsible for handling family abduction cases. The project is currently providing training and technical assistance to prosecutors as well as multi-disciplinary teams and developing and disseminating materials to facilitate replication of effective approaches to investigating and prosecuting parental abduction cases.

The criminal justice system is increasingly recognizing the prevalence and seriousness of parental abductions and placing greater emphasis on investigative and prosecutorial responses. Many states have raised parental abduction to a felony offense, punishable by imprisonment and large fines. In some states restitution is available for expenses incurred in recovering the child. With the view of parental abduction as simply a "family matter" changing in the eyes of both the public and the judiciary, the criminal justice system is increasingly under pressure to respond effectively to these cases. In many communities it falls to the prosecutor to mobilize the system's response in order to guarantee thorough investigation and prosecution. Abductions of children by parents involve complex investigative and legal issues. They present unique challenges to prosecutors and law enforcement agencies and require different handling from other criminal cases. However, most prosecutors receive little or no training or outside help with parental abduction cases. The lack of experience on the part of most prosecutors is hampered by rapid turnover of personnel, the relative unpopularity of handling parental abduction cases compared with other types of felony prosecutions, the common policy of rotating assistant prosecutors from one position to another, and the practice of assigning lower priority to these cases. For these reasons, there is an ongoing need for regular, high quality and cost-effective training in handling parental abductions.

The findings of recent studies appear to indicate that if parental abduction cases are more vigorously prosecuted, the incidence goes down. Without prosecutorial support, law enforcement involvement in parental abduction cases is infrequent and inconsistent, despite the existence of criminal statutes proscribing such conduct. Parents who have financial resources may be able to turn to attorneys and private investigators for help; parents who cannot afford private assistance are left without a means to locate and recover their children. Recent studies indicate that a majority of left-behind parents fall into the latter category.

Program information and materials are available upon request from the OJJDP staff contact listed at the end of this solicitation.

Goal: The goal of this program is to increase awareness and knowledge on the part of prosecutors and other professionals about the serious and complex nature of parental abduction cases and to assist local prosecutors in improving the quality of investigation and prosecution of parental abductions.

Objectives: The objectives of this program are:

- To disseminate information to prosecutors on the local level through providing technical assistance as requested, guidance regarding effective strategies, and the development of articles, packets, and educational presentations;

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- To provide training for prosecutors through national conferences on investigation and prosecution of parental abduction cases and to provide instructors for State, local, and national training programs and conferences;
 - To produce, update, and distribute publications and other written materials, including distribution of the "Investigation and Prosecution of Parental Abduction" manual, contribution of articles for publication in professional journals, and development of new publications on "cutting edge" issues related to the handling of parental abduction cases; and
 - To monitor, draft and evaluate federal and state legislation from the perspective and experience of prosecutors.

Program Strategy: The design of this program builds upon the original program by the American Prosecutors Research Institute on the Investigation and Prosecution of Parental Abduction Cases. The award recipient will implement three primary program strategies: technical assistance, training, and publications. These three strategies will be implemented on the local or individual, State or regional, and national levels.

The grantee will develop and implement training for prosecutors and investigators through providing instructors for local, State and regional conferences and through holding annual national conferences. Technical assistance will be made available to individual prosecutors for development of case strategy and for information on specialized topics such as the "underground railroad", cases involving allegations of domestic violence or child abuse, and model voir dire. The project strategy also calls for the development of collected resources and clearinghouse functions, and for the development of additional educational and informational materials which can be disseminated to the field. The grantee is also expected to identify and participate in ongoing exchanges of information with other key organizations and experts in the field, including other OJJDP grantees focusing on missing and exploited children. As new reports and findings on parental abduction issues become available, the grantee should update and incorporate the new information in training curriculum and resource materials. The project also calls for a project advisory board made up of experts in the field of parental abductions and approved by OJJDP.

Eligibility Requirements: Applications are invited from public agencies or private nonprofit organizations which can demonstrate knowledge of the civil and criminal justice issues relating to the investigation and prosecution of parental abduction cases, as well as experience and capability in curricula, technical assistance, and conference development.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, civil and criminal justice issues relating to the investigation and prosecution of parental abduction cases.

2. Statement of Objectives. (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. Project Design. (30 points)

The procedures, workplan and proposed products of the project must be directly linked with the stated objectives and with the problem addressed by this announcement.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan describes a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the application. Organizational experience is required in criminal justice issues relating to the investigation and prosecution of parental abduction. Also organizational experience is required in the development and implementation of training curricula, publications, technical assistance, and conference planning. Key project staff should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period for the grant is 36 months. One grant will be awarded with an initial 18 month budget period.

Award Amount: Up to \$250,000 has been allocated for the initial 18 month budget period. Applicants shall include an estimated budget for the second 18 month budget period.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Peter Freivalds, Training and Technical Assistance Division, OJJDP, at (202) 307-0598.

New Programs

The following solicitations refer specifically to three recently completed studies sponsored by OJJDP available from the Juvenile Justice Clearinghouse. The studies are:

“Families of Missing Children: Psychological Consequences and Promising Interventions,” Center for the Study of Trauma, University of California at San Francisco. (Draft final report, 665 pages).

“Obstacles to the Recovery and Return of Parentally Abducted Children,” Center on Children and the Law, American Bar Association. (Draft final report, approximately 257 pages.)

“The Reunification of Missing Children Project,” Center for the Study of Trauma, University of California at San Francisco. (Draft final report, 145 pages.)

Legal Issues and Barriers to Using School, Public Service Agency, and Hospital Records and Information in Locating Missing Children.

Purpose: This project will identify barriers to using school, hospital, and other public and private service agency records and information to assist in locating missing children.

Background: Law enforcement officers at times must use stealth to locate missing children. In some cases, particularly family abductions, the child can be located through the use of official records such as social service records or school transcripts. However, confidentiality laws, agency policies, and professional ethics often prevent the disclosure and dissemination of this information to parties beyond its immediate use. Law enforcement officers may not be able to access it. Indeed, there may be instances in which the veil of confidentiality should not be pierced in efforts to locate the missing child. Law enforcement personnel will benefit from a study designed to obtain information to identify the nature and extent of these barriers and the mechanisms by which various States, agencies and professionals are impacted by operation of these statutes, policies, and ethical codes in providing information to law enforcement agencies who are investigating a missing child case.

Goal: The goal of this program is to assess the barriers to law enforcement’s ability to obtain and use school records, public service agency information, hospital records, and the information resources of other public and private agencies in locating missing children.

Objectives: The objectives of this project are to:

- Identify public and private agencies and personnel that may have information potentially useful in locating a missing child;
- Examine confidentiality statutes at the Federal, State and local level that prevent or restrict access to this information;
- Identify other statutes, case law, or agency policies which prevent or restrict the use of these information resources;
- Examine other barriers, such as codes of professional ethics, which impact the ability of law enforcement to access relevant information; and

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- Suggest mechanisms through which these statutes, policies, or professional codes may be modified to provide access to information that would be valuable in locating the abductor and the child(ren).

Program Strategy: The grantee will first identify non-law enforcement agencies and personnel which may have information that could aid in locating missing children. The survey should include battered women's shelters, the Internal Revenue Service, the branches of the military, public assistance agencies, adoption agencies, foster care agencies, schools, and other private and public child-service agencies. The grantee should identify a full range of relevant agencies for potential inclusion.

Second, the grantee will examine Federal and State statutes, case law, codes of professional ethics and conduct, and agency policies which impact access to the information contained in records of these agencies that would assist law enforcement in locating missing children.

Third, using the information gathered, the grantee will produce a guide to accessing and using such information. This guide shall indicate the flexibility provided by the various statutes, policies, and codes of conduct, the potential barriers they establish, and whether and under what circumstances identified barriers can be overcome to make needed information available to law enforcement agencies in missing child cases while, at the same time, protecting the legitimate confidentiality rights of individuals.

Finally, to disseminate this information and provide a wide review of the findings, the grantee will organize a symposium of professionals to discuss and critique the final draft of the guide. The grantee, in consultation with OJJDP, will invite to the symposium a group of professionals representative of the agencies examined, such as school officials, social service professionals, community mental health workers, law enforcement personnel, judges (or appropriate judicial personnel), and others. The symposium will assist the grantee to refine the findings of the assessment and to indicate future policy directions.

Products: At each stage of the project, the grantee will submit a report to OJJDP that will demonstrate that these objectives have been met:

1. A listing of agencies that potentially have information on missing children;
2. An assessment protocol to determine the type of information available;
3. A publishable guide to using the particular agencies for locating missing children; and
4. Proceedings from the symposium.

Eligibility Requirements: Applications are invited from public and private non-profit agencies, organizations, educational institutions, or combinations thereof. Applicants must demonstrate that they have the necessary legal background and knowledge to examine the relevant statutes, case law, and professional codes or standards of conduct. Also, applicants must indicate they have the necessary research background to produce a credible information guide.

Selection Criteria: Applications will be rated on the extent to which they meet the following selection criteria:

1. Conceptualization of the Problem. (15 points)

The applicant should expand on the problem with a narrative that indicates a full understanding of the difficulties involved in locating missing children. The applicant should indicate particular circumstances in which such information would be useful to law enforcement personnel and parents. The applicant should also show initiative in efforts to grasp the full extent of the stated problem and indicate how their proposal will address this problem.

2. Statement of Goals and Objectives. (20 points)

The applicant must link the problem statement directly with concrete, measurable tasks or objectives. These tasks should show exactly what should be done to address the goals of the project as indicated in the problem statement.

3. Project Design. (25 points)

The application will be evaluated on the soundness of the project design. Applicants should map out how the project tasks will be completed and how they directly apply to the stated goal of the project. The design should be consistent with generally accepted principles of research and investigation. OJJDP will require the four following tasks to be completed:

- A listing of the agencies (public and private) which may have useful information for locating missing children;
- The drafting of an assessment protocol to examine the opportunities and barriers to using this information;
- The actual assessment of the accessibility of the information,; and
- A symposium of professionals to discuss the findings of this grant.

While the successful applicant will be encouraged to present creative solutions to the problem, the above four tasks link directly to the products OJJDP deems necessary for the successful completion of the project, and must be built into the project design.

4. Project Management. (15 points)

The applicant must demonstrate that their organization has the managerial and organizational capability to undertake a project of this type. Applicants should indicate specific personnel who will accomplish the tasks. If specific personnel are not yet named, the applicant must include position descriptions along with minimum qualifications necessary of any individuals that will fill those positions. The applicant must indicate how their particular management structure will contribute to the successful completion of the project.

5. Organizational Capability. (15 points)

The applicant must demonstrate that the organization has the capacity and the experience to undertake and complete a project of this nature and scope.

6. Budget. (10 points)

Applications will be reviewed to assure that all costs will cover the expenses of the proposed project. Similarly, the budget will be reviewed to assure that all costs are reasonable for the type of project and activities required to carry out this project. All costs indicated must be allowable under OJP Financial Guidelines and Federal Policy.

Award Period: The project period for this program will be 12 months.

Award Amount: Up to \$125,000 has been allocated for this project.

Due Date: Applications must be received by mail or delivered to OJJDP by September 14, 1992.

Contact: For further information contact Joe Moone, Research and Program Development Division, at (202) 307-5929.

Cases of Legal Definition Abduction, Child Molestation and Exploitation by Nonfamily Members

Purpose: The purpose of this project is to provide information about cases of nonfamily legal definition child abduction, molestation and exploitation cases and the manner in which these cases are defined and treated by the community through the media and within the criminal justice system.

Background: Much of the controversy in the last decade about nonfamily child abduction has been about definitions, not numbers. Definitions in social science research differ from legal definitions, and legal definitions may vary substantially from one jurisdiction to the next. The "National Incidence Studies of Missing, Abducted, Runaway, and Thrownaway Children in America" (NISMART), released by the Office of Juvenile Justice and Delinquency Prevention in 1990, addressed this problem by using a two-level definition. Within the category of nonfamily abduction, NISMART used a "legal definition" of abduction (or the crime of abduction as defined by state laws) and stereotypical kidnappings. Stereotypical kidnappings referred to the more common conception of stranger abductions involving long-term, long-distance, or fatal episodes while the legal definition included short-term abduction, and the coerced, unauthorized movement or detention of the child as a part of some rapes and assaults by nonfamily members. Using the legal definition, many violent crimes, including child sexual assault, can involve abduction as an element. NISMART estimated that there were between 3,200 and 4,600 legal definition abductions of children in 1988. At least two thirds of these cases involved sexual assault.

The estimates for legal definition abductions are the most difficult to validate against any other source, since many of these abductions are not thought of as abductions, even by law enforcement personnel, and they are not necessarily reported as such in the media. The sexual assault aspects of child molestation generally overshadow the aspect of a legal definition abduction. Police reporting methods, particularly regarding sexual assault crimes and abductions, are problematic and inconsistent. The NISMART researchers pointed out that the biggest potential unknown for estimates of legal definition abductions concerns crimes not reported to police and abductions not known to caretakers. The FBI estimates that only between 1% and 10% of these cases are ever reported to law enforcement. Currently there is no national data collection focused on children who are sexually abused or assaulted by nonfamily members each year. Also, national figures on homicide are not kept in a form that makes it possible to determine whether an abduction occurred together with the murder. The lack of uniformity and definition of charges contributes to the difficulty in understanding the scope and nature of not only legal definition abductions but also of the children who are sexually assaulted by nonfamily members.

Goals: The goals of this program are:

1. To understand how the media portrays nonfamily abductions of children and how this portrayal may impact on the outcome of the criminal justice process and community perceptions of the problem.
2. To identify prominent characteristics of nonfamily child abductions, as well as molestation and sexual exploitation in the context of legal definition abductions through media sources, police records and court data within selected sites.
3. To analyze and compare definitions and handling of legal definition abductions and molestations by the media, law enforcement, and the courts within selected sites.

Objectives: The objectives of the program are to:

- Construct a representative sample of newspaper reports of incidents such as sexual assault, molestation, kidnapping, homicides, and other related victimization of children that may include nonfamily abductions.

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- Compare the information found in newspapers, police reports, and court information (bargained pleas, verdicts, dispositions etc.) to determine "accuracy" in newspaper reports, and consistency between sources of reporting. The grantee may also examine police records for cases which were charged but not reported in the media.
 - Using the information gathered from media, police, and court records, analyze and compare the ways in which cases of legal definition abduction and molestation are defined and handled.
 - Explore media reporting of the community response to a range of incidents and their perceptions about the problem of child abduction and sexual molestation and exploitation and its impact on their community.

Program Strategy: Within the limits of resources available, select several jurisdictions to study. The grantee will examine all media reports available on nonfamily kidnappings, molestations, and exploitation of children to search for legal definition abductions. The grantee will gather from these reports basic information about the case.

From the total sample of cases, the grantee will select sites within the jurisdictions from which to draw a subsample of cases for further investigation. This investigation will include examination of police and court records as well as further tracking through the media. Police records may be examined for information on cases which were charged but not reported in the media. Besides information on the charges filed and case outcome, the information collected from these sources will be examined for ages of offenders and victims, offender occupation, a victim-offender relationship, number of victims, previous arrest history, involvement of child pornography or prostitution, and the criminal justice system status of the offender (on bail, probation, or parole).

The analysis will include an examination of the types of newspapers that report such crimes (such as urban or rural, West, South, or North, population size, etc.) and how the crimes are reported (such as seriousness, judgmental language, column inches, number of articles). Within the subsample of cases, the grantee will note consistencies and inconsistencies between the newspaper reports and the police records of the case. When tracking the cases further through the court system, the grantee will note inconsistencies between all three sources of information.

Following this examination, the grantee will look at the particular independent variables collected (such as arrest charge, demographics of offenders and victims, characteristics of the charge, bargained pleas, verdicts, dispositions). This examination will indicate the level of knowledge available to the public from the newspaper accounts.

Products:

1. A final report summarizing the findings.

This report should include the following: (1) the findings about characteristics of non-family legal definition abduction and molestation and sexual exploitation cases, (2) consistencies and inconsistencies found between the three data sources, (3) information on how legal definition abductions and molestations of children are perceived by the community at large through media representation, and (4) how these cases are defined (i.e. differences in legal definition abduction in the selected sites) and handled by the criminal justice system.

2. A public use data base.

This data base should include all information collected. All individual identifying variables must be removed.

Eligibility Requirements: Applications are invited from public and private nonprofit agencies, organizations, educational institutions, or combinations thereof. Applicants must demonstrate that they have knowledge of child victims of sexual molestation, exploitation and abduction and provide evidence of their management and financial capability to implement effectively a project of this size and scope.

Selection Criteria: Applications will be rated on the extent to which they meet the following selection criteria.

1. Conceptualization of the Problem. (20 points)

The applicant should expand on their understanding of data sources, data analysis, etc., with regard to this particular problem.

2. Statement of Goals and Objectives. (20 points)

The applicant should expand on the above listed objectives providing clear definitions based upon the applicant's understanding of the problem, objectives, and available resources. Finally, the applicant should organize these objectives in such a way as to be consistent with the research design.

3. Project Design. (25 points)

The applicant will be evaluated on the soundness of the project design. The solicitation does not dictate a specific direction for this project. OJJDP will be looking for inventive and creative methods to examine this problem. However, the proposed methodology must be fully explained. It must also be closely related to the goals of the project. The applicant must indicate how the proposed methodology will fulfill the project goals.

4. Project management. (15 points)

The applicant must demonstrate that their organizations have the managerial and organizational capability to undertake a project of this type. The applicant must provide a list of all personnel to be involved in this project and specify which tasks will be performed by whom and under what timelines. The applicant must include resumes of all primary research personnel and indicate how their management structures will allow for the successful completion of the project.

5. Organizational Capability. (10 points)

The applicant should indicate how its organization will direct the necessary resources, facilities, etc., to accomplish this project. In particular the applicant should provide evidence of past projects which indicate the ability to complete this project.

6. Budget. (10 points)

The application will be reviewed to assure that all costs will completely cover the expenses of the proposed project. Similarly, the budget will be reviewed to assure that all costs are reasonable for the type of project. All costs indicated must be allowable under OJP Financial Guidelines and Federal Policy.

Award Period: The project period for this project will be 18 months.

Award Amount: Up to \$200,000 has been allocated for this project.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Jeff Slowikowski, Research and Program Development Division, at (202) 307-5929.

“Families of Missing Children: Psychological Consequences and Promising Interventions”: A Study to Resurvey the Respondents in the Original Study.

Purpose: The purpose of this resurvey is to provide an improved knowledge base for future development of programs to ameliorate the psychological effects on victims and families of family and non-family abductions and serious runaway episodes. It builds on the earlier project, “Families of Missing Children: Psychological Consequences,” by resurveying the families who participated in that survey and again measuring levels of psychological distress in order to gather data in which the missing child has been recovered since the last survey and to identify more clearly the missing child situations in which the psychological effects dissipate after two years and those in which they do not.

Background: The results of the initial “Psychological Consequences” project indicated that it is appropriate to identify two traumas rather than just the one associated with each missing child incident. The initial trauma arises when the child is taken, but there is a second trauma at the time of resolution, the return of the child or the discovery that the child has been killed. At the conclusion of the initial study 50 missing children from the 279 cases had not been recovered. It is important to get data from any of these 50 cases in which there has been a recovery since the conclusion of the initial project because it is expected that these will be more serious cases due to the length of time the children would have been missing.

In the initial “Psychological Consequences” project, data was collected and analyzed using the double ABCX Model of Family Adaptation to Crisis developed by Hamilton McCubbin of the University of Wisconsin. A sample of 279 families were followed prospectively with in-home interviews in a time series measurement design from approximately one month post-disappearance to eight months post-disappearance. Changes in the levels of distress for each type of disappearance were measured in the initial project over a period not exceeding eight months, with the time after recovery often being much shorter. Whether or not a significant drop in psychological distress levels can now be measured two years after disappearance is important to the development of programs to help families cope with this distress.

Goal: The goal of this project is to assess the changes in the post-trauma responses of the 279 families composing the original sample, now that approximately two years have passed after the original data collection, in order to validate the conclusions reached in the original study over a longer period of time, particularly with regard to the trauma associated with the recovery of a body or a child.

Objectives: The objectives of the project are:

1. To obtain responses to the original data collection instruments from as high a percentage of the 279 sample families as possible.
2. To collect the data using methods equivalent to those employed originally, including in-home interviews, in order to isolate the variation in responses as due only to the passage of time.
3. To analyze data using the double ABCX Model of Family Adaptation to Crisis and present the results showing changes from the results of the initial project and drawing conclusions from these results.

Program Strategy:

1. Applicants will be expected to present a plan for obtaining the highest possible rate of response. This plan will include working in cooperation with the original researcher, the University of California, San Francisco, to reestablish contact with the original victim families in order to assure the continuity of contact.
2. Data collection instruments will be the same as used in the initial data collection including the following instruments: Symptom Check List—90, Achenback Child Behavior Check List, Family Inventory of Life Events, F-COPES, Frederick Trauma Reaction Index—Adult, Frederick Trauma Reaction Index—Child, and the Locke-Wallace Marital Satisfaction Scale.
3. Data will be collected in the same manner used by the initial researcher, in the families' homes.
4. Data will be analyzed using the double ABCX Model of Family Adaptation to Crisis and results will be presented showing changes from the results of the initial project and drawing conclusions from these results.

Products: A final report will be presented 90 days after the close of the grant period showing changes from the results of the initial project and drawing conclusions from these results.

Eligibility Requirements: Applications are invited from public and private nonprofit agencies, organizations, educational institutions, or combinations thereof. The applicant must demonstrate that they have knowledge and experience in the design and implementation of research projects of this size and complexity. They must demonstrate the ability to collect and analyze data using the double ABCX Model of Family Adaptation to Crisis employed in the initial project.

The applicant must provide further evidence of their management and financial capability to implement effectively a project of this size and scope. Those who fail to do so will be ineligible for funding consideration.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The problem to be addressed by the project should be clearly stated. The applicant should address the problems of achieving the maximum level of response on this resurvey, assuring the comparability of the data developed in this resurvey with that developed in the original survey, and analyzing the results to gain the most insight possible from the new information.

2. Statement of Objectives. (20 points)

The objectives to be achieved by the project must be clearly defined. The applicant must link the problem statement directly with concrete, measurable tasks to achieve the program objectives. These tasks should show exactly what will be done to address the program objectives.

3. Project Design. (20 points)

The application will be evaluated on the soundness of the project design. The applicant should provide a schedule for the implementation and completion of these tasks and demonstrate that they will achieve the objectives of the project. The design should comply with generally accepted principles of research and investigation.

4. Project Management. (20 points)

The applicant must demonstrate that it has the managerial and organizational capability to undertake a project of this type, indicating specific personnel who will accomplish the tasks. If specific personnel are not yet named, the applicant must include position descriptions along with the qualifications necessary of any individuals who will fill those positions. The applicant must indicate how this particular structure will allow for the successful completion of the project.

5. Organizational Capability. (15 points)

The applicant must have the capability to complete the tasks indicated in the application. In particular, the applicant must demonstrate experience in collecting, analyzing, and presenting data as required to complete this project.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable and cost-effective vis-a-vis the activities to be undertaken. The application will be reviewed to assure that all costs will completely cover the expenses of the proposed project. Similarly, the budget will be reviewed to assure that all costs are reasonable for the type of project envisioned in this solicitation. All costs indicated must be allowable under OJJDP grant regulations. The applicant should show that all proposed costs will be used in the most effective manner possible to complete the project goals.

Award Period: The project and award period for this project is 12 months.

Award Amount: Up to \$150,000 has been allocated for this project.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Eric Peterson, Social Science Specialist, Research and Program Development Division, at (202) 616-3644.

Model Sentencing and Custody Guidelines in Parental Abduction Cases.

Purpose: The purpose of this project is improve the justice system response to parentally abducted children and deter abductions through the development of guidelines for prosecutors and judges on the effective handling of parental abduction cases and to minimize the negative effects on children by enabling judges to make more informed decisions regarding post-abduction custody.

Background: Recent OJJDP-sponsored studies on the obstacles to the recovery of parentally abducted children and on the psychological impact of abduction on children and families show that child victims of family abductions experience more trauma and long-term disturbances than is commonly believed. These, and other studies, indicate that primary motivations of family abductors in the majority of cases were anger and revenge against the other parent and that the abductors attempted to use their children to control and attack the opposing parent. Some parents were fleeing abuse directed at themselves, their child, or both, and needed protection. While studies indicate that up to 33% of parental abduction cases involve allegations of child abuse, a higher percentage reportedly involve a violent relationship between the parents. A recent study found that more than one-half of left-behind parents reported previous abuse by their partners, with three-quarters of abducting fathers having a history of violent behavior compared with one-quarter of abducting mothers. Fifteen percent of the abductions in the same sample involved the use of force. One study of missing children found that parentally abducted children were missing longer (an average of 499 days) than stranger abducted children (an average of 122.3 days), or runaway children (an average of 27.7 days).

Family abduction cases represent a wide variety of situations with regard to motivation, effects on the child, and outcomes. Regardless of whether an abduction is prompted by frustration with unsatisfactory custody or visitation arrangements or by a desire to punish or control the other parent, many abducting parents intentionally or unintentionally inflict serious emotional or physical harm upon their children. Legal outcomes differ greatly from state to state. OJJDP-sponsored studies indicate that few abductors are being prosecuted or are receiving sentences of any consequence, and custody is being awarded to the abductor in some cases. Consequently, in many jurisdictions, law enforcement involvement in these cases is infrequent and inconsistent.

Goal: The goal of the project is to develop guidelines that inform prosecutors and judges of the effects of parental abductions on children and families which will enable the criminal justice system to develop more accurate and effective responses to family abduction cases.

Objectives: The objectives of this program are to:

- Develop guidelines for prosecutors who must make decisions on charging in parental abduction cases.
- Develop guidelines for judges on sentencing and post-abduction and post-recovery custody determinations.
- From these judicial guidelines, develop a bench book for judges.

Program Strategy: The grantee will be responsible for reviewing current studies about the abduction of children and the consequences of this action on children and their families, as well as conducting surveys, if necessary, to determine judicial and prosecutorial needs in this area. In addition, reports and information on Federal and State statutes should be examined and analyzed. This information will be utilized to develop guidelines for prosecutors and judges to enable them to identify and address a wide range of cases with varying motivations and consequences to the abducted child. Examples of the factors to be considered include child concealment behaviors, use of force or violence at the time of the abduction, transporting a child out of state, changing a child's name, depriving the child of stable schooling, physical or sexual abuse, emotional and physical (including medical) neglect, and lying to the child by telling it that the other parent does not want it or is dead. The guidelines should be specifically directed to the complex concerns facing judges and court personnel and prosecutors, such as the types of situations in which abduction is likely to reoccur, a history of domestic violence which would affect the other parent and/or the child, the circumstances in which child custody might be granted to the abducting parent, and what visitation options and circumstances guiding them will be permitted after the recovery of the child.

The applicant will develop the judicial guidelines into a bench book as well as a series of articles that can be widely distributed to criminal and family court judges. The grantee will also develop a plan for dissemination to professionals through judicial, prosecutorial, and child welfare organizations.

To support this work the applicant will establish an advisory committee of judges, prosecutors and other practitioners and researchers. This advisory committee will advise the grantee on all aspects of the project and review and comment on all of the products.

The successful applicant will work with the grantee in the follow up project to "Obstacles to the Recovery and Return of Parentally Abducted Children" to develop a training curriculum that can be incorporated into existing national, State and local judicial, prosecutorial and child welfare training.

Products: OJJDP expects the following products under this grant:

- Guidelines for prosecutors with regard to the handling of parental abduction cases.
- Guidelines for judges on the handling of parental abduction cases and the related custody issues.

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- A judicial bench book which incorporates the guidelines and guidance for sentencing of parental abductors and guidance with regard to custody determinations in child abduction cases.

Eligibility Requirements: Applications are invited from public agencies and private organizations which can demonstrate knowledge of issues relating to missing and abducted children, experience with surveys, development of guidelines, and capability in civil and criminal justice issues and training development. Joint proposals by more than one applicant are welcome, as long as one organization is designated as the applicant with fiscal responsibility for the grant and the other as the co-applicant.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of the problem and a competence to deal with issues relating to missing, abducted, and exploited children, including civil and criminal justice handling of parental abduction cases.

2. Statement of the Goal and Objectives. (20 points)

The applicant must demonstrate a clear understanding of the goal and objectives to be achieved by this project and this understanding must be consistent with the requirements set forth in the conceptualization of the problem.

3. Project Design. (25 points)

The program strategy, procedures, workplan or milestone chart, and proposed products of this project must be directly linked with the stated objectives, and with the problem addressed by this announcement. The applicant must provide a clear discussion of how it will accomplish the various tasks and responsibilities under this project.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan describes a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant's ability to conduct the project successfully must be documented in the application. Organizational experience is also required in issues relating to missing and exploited children, including civil and criminal justice system handling of parental abduction cases, and development of publications and training curricula. Key project personnel should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable, and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period is 18 months.

Award Amount: Up to \$125,000 has been allocated for this project.

Due Date: Applications must be received by mail or delivered to OJJDP by September 14, 1992.

Contact: For further information contact Len Johnson, Special Emphasis Division, at (202) 616-3657.

Model Treatment and Services Approaches for Mental Health Professionals Working with Families of Missing Children.

Purpose: The purpose of this project is to increase knowledge of and develop effective treatment and services approaches for mental health professionals working with families of missing children in order to minimize the psychological consequences experienced by these victims and their families.

Background: "The Families of Missing Children: The Psychological Consequences and Promising Interventions" (Center for the Study of Trauma at University of California at San Francisco) study found that the vast majority of families of missing and recovered children do not receive any mental health services even though the experience of having a child abducted inflicts significant trauma upon the victim and the family members left behind. Only a limited number of criminological or psychological studies have specifically addressed missing children and their families. Previous studies have generally reported that there are profound negative psychological effects that result from the missing experience. The adverse psychological effects of the abduction response are peculiar to children and can be observed in their immediate responses as well as up to 4 to 5 years post-trauma. However, long-term traumatic effects may not be observed by parents for 6 months to 1 year post-trauma. Symptoms range in frequency and severity. The more severely disturbed children often may have pre-existing psychological problems. They may also come from families with pre-existing physical or emotional disturbances, and may have fewer extended family members in the community. Significant trauma symptoms have been reported in recovered children in parental abduction cases, including disordered sleep, violent behavior, uncontrolled crying, fearfulness, and separation difficulties. Children may also perceive the left-behind parent as having failed to protect them and may react with anger and rejection. One study noted that the degree of trauma to children was affected by five factors: (1) their age at the time of abduction, (2) how they were treated by the abductor, (3) the length of time gone, (4) the events and lifestyle experienced during the abduction, and (5) the type of support received upon recovery.

Other families experience post traumatic stress symptoms similar to those of the child victim, although often of lesser intensity. The "Families of Missing Children: Psychological Consequences and Promising Interventions" study also indicated that the majority of families of missing children experience clinically significant levels of distress. While the severity of trauma suffered by victims and families of non-family abduction is more commonly recognized, children and left-behind parents involved in parental abductions also suffer high levels of trauma and long-term distress. Children are usually abducted by a parent during or after the breakup of a marriage or relationship. As a consequence, in addition to the trauma ensuing from the loss of the child, the parent must also deal with other stressful factors stemming from the marital or relationship break-up. The literature review conducted in conjunction with this study found that there is a dearth of experience and knowledge and almost no research on abduction trauma and reactions of families to having a child abducted. Thus, parents who do seek mental health assistance are not likely to find a therapist with experience in either non-family or family abduction trauma.

Goal: Given the void in experience, information, and research on the psychological trauma associated with child abduction, the goal of this program is to develop, test, and refine model treatment and services approaches and training materials for use by mental health professionals in stabilizing family units upon recovery of missing children, and supporting the members of these family units and the returned child to recover effectively from the associated emotional trauma.

Objectives: The objectives of the project are:

- Through existing research and interviews with victims and their families and therapists, to assess the experiences and effects of abductions (both family and non-family).

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- To assess other treatment approaches which have been determined to be effective with child victims and their families.
 - To develop and test program and family services approaches designed specifically for missing children and their families.
 - To develop materials for training curricula and replication manuals.

Program Strategy: While the desirability of developing research-based treatment models is irrefutable, given the immediate need for professionally structured treatment and services approaches, the strategy anticipated for development of these programs anticipates an eclectic approach. The grantee may want to interview families and victims about their experiences and the effects, as well as therapists who have worked with victims and families. Program approaches should be developed which are based upon a combination of treatment approaches determined to be effective in cases involving child protection, family violence, gross family dysfunctioning, court ordered placement of children, familial incest, and marital conflict accompanied by serious violence, and post-traumatic stress disorder in children and adults. Treatment with families of soldiers missing in action should also be explored to determine if effective approaches were developed. The project may also include the development of a nationwide referral system.

Products: The end product should be two to three treatment and services approaches which can be tested in the second and third years of a three year project period, along with replication manuals, training curricula, and a complete literature review.

Eligibility Requirements: Applications are invited from public agencies and private nonprofit organizations that can demonstrate knowledge of issues relating to missing and exploited children and experience and capability in development of mental health treatment and services for victims. Joint proposals by more than one applicant are welcome, as long as one organization is designated as the applicant and the other as co-applicant.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, issues relating to missing and exploited children and the development of mental health treatment and services for victims of crime.

2. Statement of Objectives. (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. Project Design. (30 points)

The procedures, workplan and proposed products of the project must be directly linked with the stated objectives, and with the problem addressed by this announcement.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan describes a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the application. Organizational experience in issues relating to missing and exploited children and development of mental health services and treatment is required. Key project personnel should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable, and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period is 36 months.

Award Amount: The allocation of funds for the initial 18 month budget period is up to \$200,000. The applicant must include an estimated budget for a second 18 month budget period.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Kathryn Turman, Missing & Exploited Children Program at (202) 616-3631.

Interviewing Adolescent Victims of Sexual Exploitation and Sexual Abuse.

Purpose: The purpose of this program is to improve the response of the criminal and civil justice systems to missing children and exploited children by improving interviewing techniques for law enforcement, judicial and other professionals who deal with sexually abused or exploited adolescents.

Background: Interviewing adolescent victims of sexual abuse and exploitation requires particular skills and techniques. Due to their age and the nature of their exploitation, these victims are often extremely reluctant or unable to disclose or discuss their abuse or exploitation. There is little literature or training available in the field to instruct law enforcement personnel and medical and direct service providers on how to conduct interviews with the adolescent victim. However, individual practitioners in various police, prosecutorial, health, or related agencies have developed considerable proficiency in dealing with adolescent victims. Their expertise could be harnessed to train others.

Goal: The goal of this project is to develop information and techniques for interviewing adolescent victims of sexual abuse and exploitation for use by criminal justice personnel and other professionals.

Objectives: The objectives of this project are:

- To assess and inventory training needs in the subject area.
- To develop the necessary training curricula and related informational materials for professionals who conduct interviews with adolescent victims.

Program Strategy: In order to expand the availability of information and training in this area, OJJDP will sponsor an inventory and assessment of existing informational and training resources pertaining to this topic. Overall, the project will review the protocols for conducting victim interviews and the distinctions between the first responder interview, the investigative interview, and the therapeutic interview. Joint investigative interviewing by law enforcement personnel and child protective services should also be addressed. Project documents are expected to cover: (1) interviewing techniques, including types and purposes; (2) essential elements of sexual exploitation and abuse investigations; and (3) essential elements of adolescent psychology and behavior. The grantee is expected to draw on the expertise of experienced law enforcement investigators and others

who have developed special skills in interviewing adolescent victims. A literature review should be included. The training should be tested in several sites.

Products: Final products expected by OJJDP include a literature review, a suggested training curriculum and a summary state-of-the-art monograph, as well as a listing of resources and practitioners with particular expertise in this area.

Eligibility Requirements: Applications are invited from public agencies and private organizations that can demonstrate the knowledge of issues relating to missing and exploited children, and the experience and capability in developing curricula and publications for law enforcement and social services and mental health personnel.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, issues relating to missing and exploited children, investigation of crimes against children, and curricula and publications development.

2. Statement of Objectives. (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. Project Design. (30 points)

The procedures, workplan and proposed products of the project must be directly linked with the stated objectives, and with the problem addressed by this announcement.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan must describe a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the application. Organizational experience in issues relating to missing and exploited children, training curricula for investigators, and publications development is required. Key project personnel should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period is 24 months.

Award Amount: Up to \$125,000 has been allocated for the first 12 month budget period. The applicant must include an estimated budget for a second 12 month budget period.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Kathryn Turman, Missing and Exploited Children Program, at (202) 616-3631.

Resource Handbook of Victim Services and Assistance for Missing and Exploited Children and Their Families.

Purpose: The purpose of this project is to enable families of missing children to minimize the negative psychological effects of the abduction or missing experience through the development of a resource handbook to be used by families and friends of missing children to help them recognize the emotional and physical needs of family members and to identify and access available services designed to assist them in coping with the loss, loss and recovery, or death of their child.

Background: The "Families of Missing Children: The Psychological Consequences and Promising Interventions" study found that the vast majority of families of missing and recovered children do not receive mental health services, guidance in coping with the return of a child, or other victims services and resources even though the experience of having a child abducted inflicts significant trauma upon both the victims and the family members left behind.

Families of missing and recovered children can (1) enhance their personal, marital, and family stability during this crisis when they know what constitutes expected or normative reactions of child loss; (2) improve the parent-child relationship when they know the child's experience during the event and after recovery; and (3) insure their understanding of ongoing needs of the non-missing children in the family when they know sibling reaction to child loss.

Goal: The goal of this project is to develop and publish a resource handbook for families and friends of missing children that will help them (1) understand the emotional and physical needs of family members and (2) identify and access available services designed to assist them in coping with the disappearance and recovery or death of their child.

Objectives: The objectives of this project are to:

- Assess the needs of families of missing children.
- Produce a resource handbook for families and friends of missing children that will help them (1) identify the emotional and physical needs of family members and (2) identify and access the types of available services designed to assist them in coping with the loss and recovery or death of their child.
- Develop a plan whereby the publication can be efficiently and economically updated from time to time to ensure that the information—especially available services and financial assistance—remains as current as possible.
- Develop and implement a plan for an initial distribution of the final product.

Program Strategy: This project requires the development of a specialized handbook designed to enable families to recognize their personal needs and the needs of their family and to identify and access services available on a local, State, and national basis. This publication will include information on the types of available victim compensation and assistance, e.g., local, State and Federal funds, a listing of national support organizations for families and victims, as well as information on selecting a therapist. For situations involving a crime, the handbook will also address investigative, legal and court issues. The handbook will provide information for friends and extended family members on providing support and assistance to the family of a missing child. The handbook is not intended to be a comprehensive directory of local services nationwide but should instead focus on the broader types of assistance available and provide general information about accessing it.

Due to the multi-faceted nature of this publication, it is important that an Advisory Group be established to assist in determining the most important information to be included in the document. The applicant should give careful consideration as to who should be represented in the Advisory Group. It is recommended that the Group include such advisors as family members who have survived the loss and recovery or death of a child; therapists; medical doctors; family counselors; and representatives of social services, law enforcement, and the legal and court systems. The purpose of the Advisory Group is to assist in providing information for the resource handbook and reviewing and commenting on the final publication.

Production of the resource handbook should include a needs assessment of what victimized family members needed during and following their crisis. The assessment should cover what services were most helpful to the victims and their families and what "services" were either missing or harmful. The applicant should also conduct a literature review that includes, but is not limited to, physical and psychological advice to family members and friends of a missing child and available services designed to assist them in coping with the loss and recovery or death of their child. The applicant should submit a handbook organizational plan and outline and a final draft of the handbook to the Advisory Group for review and comment.

The multi-faceted nature of the publication requires that a data base be established and maintained to provide the most current data on available services, including financial assistance. The National Center for Missing and Exploited Children (NCMEC) presently maintains resource lists of State missing children clearinghouses, private nonprofit organizations focusing on missing children, and some national support groups. The applicant is expected to work with NCMEC in compiling the data on available sources. The applicant will develop an efficient, cost-effective plan whereby the resource handbook can be updated from time to time to ensure that the information remains as current as possible.

Publication of this handbook will be facilitated through NCMEC and dissemination will be primarily through NCMEC, missing children State clearinghouses, and other public and private organizations to the families of missing children they serve through an initial distribution effort and an ongoing basis as new cases arise. The applicant should develop a detailed marketing and dissemination plan to ensure that the product will reach the intended audience effectively.

Eligibility Requirements: Applications are invited from public agencies and private nonprofit organizations that can demonstrate the knowledge of issues relating to missing and exploited children and victims services, as well as experience and capability in producing publications.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, issues relating to missing and exploited children, services and assistance to victims of crime, and publications development.

2. Statement of Objectives. (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. Project Design. (30 points)

The procedures, workplan, and proposed products of the project must be directly linked with the stated objectives, and with the problem addressed by this announcement.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan must describe a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the application. Organizational experience in issues relating to missing and exploited children, resources and assistance for victims, and publications development is required. Key project personnel should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period is 12 months.

Award Amount: Up to \$60,000 has been allocated for this project.

Due Date: Applications must be received by mail or delivered to OJJDP by September 14, 1992.

Contact: For further information contact Cora Roy, Special Emphasis Division, at (202) 616-3659.

Symposium on International Child Abductions.

Purpose: The purpose of this project is to provide information to assist in the location and return of internationally abducted children through holding a symposium for practitioners in North America on critical issues regarding international child abductions.

Background: Parental child abductions are tragic and often difficult cases to resolve. When a child is abducted or moved across international borders the difficulties are compounded. The left-behind parent faces not only the pain of the loss of their child but intensified frustration and helplessness because their child is beyond the jurisdiction of U.S. laws and custody orders.

The increase in international marriages since World War II has resulted in increased international child abductions. Over the past 13 years the Department of State has been contacted on the cases of approximately 2800 children who have been abducted from the United States or kept from returning to the United States by one of their parents. In 1980, the Hague Convention on the Civil Aspects of International Child Abduction was initiated. As of this date, the Hague Convention has been ratified by 23 countries, including the United States in 1988. The Hague Convention sets international policy condemning parental abduction and seeks promptly to restore children to their pre-abduction circumstances, thus limiting the harm they suffer as a result of the abduction. It also provides international laws and procedures for the resolution of these difficult disputes.

Despite the adoption of the Hague Convention by many countries and the success in recovering children under the Convention, international child abduction still poses complicated problems for parents, governments and other agencies involved in the location and recovery of these children. There is a lack of knowledge and information about recovering children under the Hague and other resources available to assist in international child abduction cases. The Convention will govern the return of the child only if both countries have ratified the Convention and only in cases occurring after ratification. Where the Hague Convention does not govern, there are a whole set of additional issues that must also be addressed. Information on the appropriate civil and criminal remedies and the interaction between them is available and should be presented during the forum.

Educating professionals from around the country and North America, who can in turn educate parents and the public about precautionary measures and the dangers and consequences of international abduction, may help prevent abductions or repeat abductions.

Goal: The goal of this project is to educate practitioners on the issues related to international child abductions.

Objectives: The objectives of this project are:

1. To plan a conference on international child abductions;
2. To develop individual workshops or roundtables regarding prevention of international child abductions, overcoming obstacles to locating and recovering abducted children in the world-wide arena, on the progress in implementation of the Hague Convention, the interaction of civil and criminal remedies, and international trafficking in children;
3. To hold the conference by mid-1993 in an accessible site;
4. To develop the proceedings of the conference into a monograph for distribution; and
5. To develop a dissemination plan to distribute the monograph and any related materials to the broadest possible audience of interested practitioners.

Program Strategy: The grantee would work cooperatively with the U.S. Department of State's Office of Citizens Consular Services (CCS), Interpol, the Office of International Affairs in the Criminal Division at the Department of Justice, the National Center for Missing and Exploited Children, and appropriate others to convene a forum of practitioners to examine current issues regarding international abductions, including prevention, overcoming obstacles for locating and recovering abducted children in a world-wide arena, and progress in the adoption and implementation of the Hague Convention. The symposium should be planned for mid-1993 to follow an international meeting of representatives of Hague Convention Central Authorities scheduled for January of 1993.

Besides providing a forum for reports and updates from the Hague Convention meeting, specific issues to be addressed should include court costs and legal fees, handling cases in non-Hague Convention countries, interaction between civil and criminal processes, techniques and assistance in locating abducted children abroad, needed policy improvements, training needs, public education as a deterrent, and trafficking in children.

Speakers and presenters would be drawn from the agencies mentioned above and others with expertise in handling international child abductions. Groups to be targeted for participation and attendance would include State Attorneys General, U.S. Attorneys, State prosecuting attorneys, judges, private attorneys, State missing children clearinghouse personnel, legislators, law enforcement officers, and media personnel. Invitations to participate in the symposium should also be extended to central authorities in Canada and Mexico.

An expected outcome of this forum would be the publication of a series of reports indicating directions for future study, training and information dissemination.

Eligibility Requirements: Applications are invited from public agencies and private nonprofit organizations that demonstrate the experience and capability in dealing with legal issues relating to international child abductions, conference and curricula development, and publications development.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, issues regarding legal obstacles to and remedies for resolving international abduction cases, symposium development, and the providing of information and training to the target population.

2. Statement of Objectives. (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. Project Design. (30 points)

The procedures, workplan, and proposed products of the project must be directly linked with the stated objectives, and with the problem addressed by this announcement.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan must describe a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the application. Organizational experience in legal issues, resource and conference development, and training is required. Key project staff should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable, and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period for this program is 12 months.

Award Amount: Up to \$200,000 has been allocated for this project.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Douglas Dodge, Special Emphasis Division, (202) 616-3652.

Obstacles to the Recovery and Return of Parentally Abducted Children: Training, Technical Assistance and Product Resources.

Purpose: The purpose of this project is to improve the justice system response to children who are abducted by family members through the dissemination to judges, prosecutors, law enforcement personnel, private attorneys, and policy makers information on the legal obstacles faced by parents and investigators in recovering parentally abducted children.

Background: Section 408 of the Act, 42 U.S.C. 5778, directed OJJDP to fund a study on the obstacles that prevent or impede the recovery and return of parentally abducted children. The study, "Obstacles to the Recovery and Return of Parentally Abducted Children" was conducted for OJJDP by the Center on Children and the Law at the American Bar Association. The interim report presented to Congress in November, 1991, identified and focused on three key legal obstacles. These obstacles were: (1) lack of knowledge of applicable law on the part of judges and attorneys; (2) lack of compliance by judges and attorneys, even when knowledgeable; and (3) lack of uniformity and specificity in State laws. In addition, left-behind parents often were unable to afford legal assistance or to find attorneys who would adequately and knowledgeably represent them. The final report, which was received by OJJDP on July 1, 1992, details other issues of a non-legal nature and will include specific recommendations for removing legal obstacles and improving interstate and inter-jurisdictional cooperation in parental abduction cases.

Goals. The goals of this project are:

1. To increase the knowledge of judges, prosecutors, and policy makers as to the legal obstacles to recovering parentally abducted children and to existing civil remedies; and
2. To identify and assess potential remedies for practical obstacles relating to accessibility of custody records and lack of available and affordable legal assistance for left-behind parents.

Objectives: The objectives of this project are to:

- Develop specialized publications and resources;
- Develop training curriculum for judges and dissemination through existing organizations which provide training for the judiciary; and
- Implement regional policy conferences on parental abductions and the implementation of the Uniform Child Custody Jurisdiction Act and the Parental Kidnapping Prevention Act.
- Assess the feasibility of remedies such as development of a child custody registry, development of a nationwide referral network of attorneys who handle family abduction cases, and problems of affordability of legal services for left-behind parents.

Program Strategy: OJJDP expects this project to develop materials and training for different audiences and create cooperative arrangements with existing organizations to disseminate these materials. Target audiences include lawyers, judges, law enforcement personnel, prosecutors, policy makers and public and private missing children's organizations. The successful applicant is expected to develop and disseminate model State statutes and to possibly hold a conference for State legislators and their staffs. In addition, procedures for establishing a national child custody registry and possible resources to assist left-behind parents in accessing knowledgeable legal representation are to be examined.

Products: Specific products will include:

1. A written bench book for judges on the Uniform Child Custody Jurisdiction Act (UCCJA), the Parental Kidnapping Prevention Act (PKPA);
2. A booklet of practice tips for attorneys in family law on handling family abduction cases;
3. Information for left-behind parents on how best to work with the system to accomplish the recovery of an abducted child;
4. Development of a written protocol for law enforcement for both civil and criminal cases;
5. A fifty State, D.C., and territorial directory of relevant statutes and case law (on disk) related to family abductions; and

6. A directory of legal resources and information for use in parental abduction cases and enforcement of child custody orders.

Eligibility Requirements: Applications are invited from public agencies and private organizations that can demonstrate the experience and capability to produce legal analysis, publications and training curricula for justice system personnel.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, issues regarding legal obstacles and remedies to parental abduction cases, curricula development, and the providing of information and training to the target population.

2. Statement of Objectives. (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. Project Design. (30 points)

The procedures, workplan, and proposed products of the project must be directly linked with the stated objectives, and with the problem addressed by this announcement.

4. Project Management. (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan must describe a system whereby logistical activities are handled in the most efficient and economical way.

5. Organizational Capability. (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the application. Organizational experience in legal issues, resource and curricula development, and training is required. Key project staff should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable, and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project period is 36 months.

Award Amount: Up to \$250,000 has been allocated for this project for the first 18 month budget period. Applicants must include an estimated budget for a second 18 month budget period.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Kathryn Turman, Missing and Exploited Children Program, at (202) 616-3631.

Telecommunications Training for Law Enforcement Personnel on Techniques for Investigating Missing and Exploited Child Cases.

Purpose: The purpose of this project is to address the particular needs of missing children by minimizing the negative impact of law enforcement procedures on children who are victims of abuse or sexual exploitation through the development and dissemination to law enforcement personnel of a comprehensive video training curriculum designed to improve investigative response.

Background: The past decade has seen a substantial increase in the number of cases involving missing and sexually abused and exploited children. The majority of cases of children abducted by non-family members involve sexual assault. Runaway children are frequently at serious risk of sexual assault and exploitation. Recent surveys of prosecutors and law enforcement reflect the growing burden these cases place on the criminal and civil justice system. The investigation and handling of missing and sexually exploited children present difficult challenges for the law enforcement officer and require special skills and knowledge. Most law enforcement agencies employ less than ten officers. Even the smallest agencies will encounter these cases, yet these law enforcement officers have few opportunities or resources to receive specialized and intensive training in the investigation of crimes against children.

Rapidly developing telecommunications technologies are becoming more accessible and economical in use. According to proponents of this type of technology, these methods can provide many advantages over more traditional training and information dissemination, including cost savings in travel and time, more timely transfer of information, and greater access to larger numbers of students or interested parties.

The distribution of video training programs supported by satellite or other technology to closed user group audiences may overcome many of the barriers to receiving specialized training faced by many law enforcement agencies. Training could occur through the existing law enforcement telecommunications systems or through structured teleconferencing.

Goal: The goal of this project is to provide state-of-the-art information on the investigation of missing and sexually abused and exploited children cases to a wide audience of small to mid-size police departments.

Objectives: The objectives of the project are:

- To support development of an integrated training course package to be used in model training approaches; and
- To develop and test dissemination strategies emphasizing utilization of cable and teleconferencing networks.

Program Strategy: OJJDP will select an organization to develop and produce a video training course about the investigation of missing and exploited children cases. This series of videotape presentations will focus on the investigation of missing children (including both family and non-family abductions), sexual abuse and exploitation of children, including related crimes committed against children who are missing or who may have been abducted, such as investigation of physical abuse injuries and homicides. Related topics to be addressed in training videotapes include case management, developing offender profiles, techniques for interviewing child victims and suspects, and interacting with social service, medical, and mental health professionals. The curriculum should focus on basic, but state-of-the-art information and techniques, and should be consistent with other OJJDP-sponsored training programs for law enforcement. The curriculum should primarily represent situations and resources available to small and mid-size law enforcement agencies.

This project requires the selection of a project advisory committee approved by OJJDP consisting of experts and practitioners from law enforcement, child protective services, the medical field, mental health services, and prosecutors. This advisory committee will assist in the development of the curriculum. The grantee should consult with law enforcement officers currently serving as faculty for OJJDP's child abuse and exploitation training program as well as the training staff from the National Center for Missing and Exploited Children.

In addition to the series of training videotapes, the successful applicant will produce a small publication or pocket card for law enforcement agencies listing national and regional resources which provide training, information, and technical assistance in cases of missing and exploited children.

The successful grantee will also design and test a plan for regional and national dissemination utilizing cable and teleconferencing networks, law enforcement training academies, and professional organizations.

Specific products to be completed during this project are:

- A series of training videos;
- A small pamphlet or pocket card for law enforcement listing resources for training, information, and technical assistance;
- A pilot demonstration effort using telecommunications technology, and
- A summary report detailing opportunities for future dissemination.

Eligibility Requirements: Applications are invited from public agencies and private organizations which can demonstrate the capability to develop and produce a high quality series of training videos on the investigation of child maltreatment cases for law enforcement as well as the demonstrated capability for utilizing telecommunications technology for dissemination of training materials.

Selection Criteria: Applications will be rated on the extent to which they meet the following criteria:

1. **Conceptualization of the Problem.** (15 points)

The applicant must demonstrate a clear understanding of, and competence to deal with, investigative issues regarding child maltreatment cases, law enforcement training, and telecommunications technology.

2. **Statement of Objectives.** (15 points)

The objectives to be achieved by the project must be clearly defined and consistent with the issues and requirements set forth in the conceptualization of the problem.

3. **Project Design.** (30 points)

The procedures, workplan, and proposed products of the project must be directly linked with the stated objectives, and with the problem addressed by this announcement.

4. **Project Management.** (15 points)

The project's management structure and staffing must be adequate for the successful implementation and completion of the project. The management plan must describe a system whereby logistical activities are handled in the most efficient and economical way.

5. **Organizational Capability.** (15 points)

The applicant organization's ability to conduct the project successfully must be documented in the proposal. Organizational experience with law enforcement training and utilization of telecommunications is crucial. Key project staff should have significant experience in the subject area addressed in this announcement.

6. Budget. (10 points)

The proposed budget must be reasonable, allowable, and cost-effective vis-a-vis the activities to be undertaken.

Award Period: The project will be funded for 24 months.

Award Amount: Up to \$200,000 has been allocated for the first 12 month budget period. Applicants must include an estimated budget for a second 12 month budget period.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Kathryn Turman, Missing and Exploited Children Program, at (202) 616-3631.

Funding Support for Specific Program Development for State Clearinghouses for Missing Children.

Purpose: The purpose of this project is to strengthen the capabilities of State missing children clearinghouses and to improve coordination and cooperation among the systems serving missing children at the Federal, State, and local levels.

Background: There are currently 44 State missing children clearinghouses around the country. They differ widely as to statutory authority, mission, staff size, functions, and budget. While most State clearinghouses are part of a state law enforcement agency, some are housed in a State Department of Education or in the Attorney General's office. The State clearinghouses are a critical link in the national network of agencies and organizations involved in missing and exploited children cases. Through the National Center for Missing and Exploited Children (NCMEC) and other OJJDP grantees, training and technical assistance is provided for State clearinghouse personnel. OJJDP has provided funding for new computer systems for the State clearinghouses and has also provided a bulletin board technology link with other State clearinghouses and NCMEC. Through NCMEC, OJJDP also plans to establish computer age-progression labs in four State clearinghouses. The project presented in this solicitation will provide direct funding assistance to six to eight State clearinghouses for the development of special projects and functions.

Goal: The goal of this project is to assist State missing children clearinghouses to strengthen their role within their State through the development of specific projects and functions relating to missing and exploited children.

Objectives: The objectives of this project are:

- To generate new and innovative ways to serve the families of missing children and assist local law enforcement in the investigation of missing child cases;
- To facilitate the development of projects within State clearinghouses which would raise the visibility and viability of those clearinghouses;
- To develop models and processes for new programs and State clearinghouse functions for replication in other State clearinghouses.

-
- To develop programs which would expand the national networking capabilities among the State missing children clearinghouses and law enforcement agencies.

Program Strategy: Proposals are being solicited from designated State clearinghouses on missing and exploited children for cooperative agreements with OJJDP to develop and implement special programs and products designed to assist and improve the quality of services offered missing and exploited children by law enforcement and youth serving agencies.

OJJDP anticipates providing up to six grants (up to \$50,000) to individual clearinghouses to develop special projects and products. OJJDP encourages the applicants to develop their programs in formats to serve as models for other State clearinghouses around the country to improve their service capabilities. These projects could include programs such as the development of a State-wide listing of investigators specializing in missing and/or exploited child cases; development and implementation of improved case management systems; the development of training and information dissemination programs designed for law enforcement personnel on investigating missing child cases and how to utilize and interface with their State clearinghouse; making their services known to law enforcement, lawyers, judges, attorneys, and parents; community education and prevention programs; and the development of a network of volunteers within the State who have experience and background in providing services for the parents of missing or exploited children. OJJDP will also consider submissions of original program ideas designed to improve the service capabilities of the State clearinghouse.

The successful applicant must be creative and innovative in its approach and strategy in designing and implementing this program. Applicants must be cost effective, develop their own strategy and budget for achieving the objectives and tasks of this initiative. The successful grantees must provide OJJDP with a report detailing the development of their programs and how they might be replicated for dissemination to other State clearinghouses.

Through a competitive peer review process, up to six applicants will be funded.

Eligibility Requirements: Applications are invited from eligible designated State missing children clearinghouses.

Selection Criteria: Applicants will be rated on the extent to which they meet the following criteria:

1. Conceptualization of the Problem. (15 Points)

Applicants identify the nature and scope of the missing and exploited children problem to be addressed.

2. Statement of Objectives. (10 Points)

Applicants provide a succinct statement demonstrating an understanding of the goals, objectives, and tasks associated with the program.

3. Project Design. (20 Points)

Applicants clearly demonstrate an understanding of the nature of the program area and the soundness of the approach to implementing the needs to be addressed by the project. The applicant must provide an innovative, yet replicable approach.

4. Implementation Plan. (25 Points)

Project activities and management structures are adequate and appropriate. The feasibility and clarity of the time task plan is apparent as it addresses what, when, who, and where project activities will be performed and products developed.

5. Organizational Capability. (20 Points)

Project management structure is adequate to conduct the project successfully. The applicants demonstrate adequate program management and experience in coordinating the type of task to be performed.

6. Budget. (10 Points)

Proposed costs are complete, reasonable, and cost effective in relationship to the proposed strategy and task to be accomplished.

Award Period: The project period for these cooperative agreements will be 18 months.

Award Amount: Up to six applicants will be awarded up to \$50,000 each. Future funding will be based upon performance and availability of funds.

Due Date: Applications must be received by mail or delivered to OJJDP by September 28, 1992.

Contact: For further information contact Frank Smith, Special Emphasis Division, at (202) 616-3656.

Appendixes

Appendix A.

Application Form and Instructions

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier																												
		3. DATE RECEIVED BY STATE	State Application Identifier																												
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																												
5. APPLICANT INFORMATION																															
Legal Name:		Organizational Unit:																													
Address (give city, county, state, and zip code):		Name and telephone number of the person to be contacted on matters involving this application (give area code)																													
6. EMPLOYER IDENTIFICATION NUMBER (EIN): <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <table style="width:100%; font-size: small;"> <tr> <td>A. State</td> <td>H. Independent School Dist.</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify) _____</td> </tr> </table>		A. State	H. Independent School Dist.	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) _____														
A. State	H. Independent School Dist.																														
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) _____																														
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY:																													
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:																													
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):																															
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:																													
Start Date	Ending Date	a. Applicant	b. Project																												
15. ESTIMATED FUNDING: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">a. Federal</td> <td style="width: 10%;">\$</td> <td style="width: 10%;"></td> <td style="width: 10%;">.00</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td></td> <td>.00</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td></td> <td>.00</td> </tr> </table>		a. Federal	\$.00	b. Applicant	\$.00	c. State	\$.00	d. Local	\$.00	e. Other	\$.00	f. Program Income	\$.00	g. TOTAL	\$.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
a. Federal	\$.00																												
b. Applicant	\$.00																												
c. State	\$.00																												
d. Local	\$.00																												
e. Other	\$.00																												
f. Program Income	\$.00																												
g. TOTAL	\$.00																												
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No																													
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED																															
a. Typed Name of Authorized Representative		b. Title	c. Telephone number																												
d. Signature of Authorized Representative		e. Date Signed																													

INSTRUCTIONS FOR THE SF 424

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) & 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:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "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 INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

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 them 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.

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, 633 Indiana Avenue, NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 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 U.S.C. 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 gives 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 on 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 has 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 non-discrimination requirements of the Justice Assistance Act or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973 as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G.
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 or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights Compliance (OCRC) of the 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.

Instructions for Completing Applications for Assistance From the Office of Juvenile Justice and Delinquency Prevention

Juvenile Justice Programs FY 1992

Applying for funds from the Office of Juvenile Justice and Delinquency Prevention (OJJDP) can be difficult. The first or even second time filling out the forms can cause consternation and confusion among many would-be applicants. OJJDP has produced these directions and examples to help alleviate this confusion.

Of course, directions can help only if they are read. All the application forms have directions which should be studied before filling out the forms. It is recommended that applicants copy the forms for a dry run before completing the final copy.

Application Requirements

OJJDP issues specific solicitations that address particular programs and policy goals of the Office. All applications sent to OJJDP should respond to a particular solicitation. Each solicitation stipulates what the application must contain and the criteria on which the application will be judged.

The major parts of the application are:

- Standard Form 424.
- Standard Form 424A (budget information).
- Detailed Budget.
- Budget Narrative.
- Program Narrative
- Assurances and Certifications.

Instructions for completing each of the major parts of the application package follow.

Standard Form 424

The Standard Form 424 (SF-424), a 1-page sheet with 18 items (see attached sample), is basically a cover sheet for the entire application. However, this form is required for every application for Federal assistance. **No application can be accepted without a completed, signed original SF-424.** Below are directions for each item on the form:

Item 1 OJJDP funds cannot be used for construction. Applicants should check "Non-Construction."

-
-
- Item 2** Fill in the date the application is sent to OJJDP.
- Item 3** For State organizations that must submit the application to the State Single Point of Contact, fill in the date that the application was sent to that person or organization. (Please note: the identifier boxes next to item 3 are provided for applicant use. They need not be filled in.)
- Item 4** OJJDP will complete this box.
- Item 5** The legal name of the organization refers to the primary organization such as the university or parent organization. The full legal name of the organization must be put in this box. The address of the organization should be put in the address box. The organizational unit is the specific subunit that is applying for funding. Only one person should be named as contact for the project. That person's name and phone number must appear in the appropriate box.
- Item 6** Each employer must have an individual Employer Identification Number from the IRS.
- Item 7** The appropriate letter must be put in the box (not circled, checked, or underlined).
- Item 8** Check the appropriate box. Unless the grant is specifically referred to as a continuation in the solicitation, applicants should check "NEW."
- Item 9** Type in "Office of Juvenile Justice and Delinquency Prevention."
- Item 10** Use the *Catalog of Federal Domestic Assistance* number and title of the program under which assistance is requested
- Item 11** The title of the grant being applied for exactly as it appears in the solicitation.
- Item 12** Be specific in naming the areas affected.
- Item 13** Fill in the expected project dates. The specific dates can change.
- Item 14** Self-explanatory. Be specific.
- Item 15** Line (a) should contain the amount of requested Federal assistance. The remaining lines should be filled out as needed. Line (g) must be filled in.
- Item 16** Executive Order 12372 requires that each State establish a Single Point of Contact between the Federal Government and State governments. If the applicant is a State agency covered by this Executive Order, then the application must be submitted for review to the responsible State agency. Contact OJJDP if there are questions about this requirement.
- Item 17** This item applies only to the organization. Mark as appropriate.
- Item 18** Type the legal name of the individual authorized to represent the organization. This item also requests the title and phone number of this individual. Applications will not be accepted without a signed original.

To help OJJDP personnel, please indicate which copy of SF-424 is the original by stamping it "Original" or signing it in blue ink.

Standard Form 424A Budget Information

All applications must include SF-424A, Budget Information (sample attached). Please submit an individual SF-424A for each project applied for. Applicants should make sure that all appropriate columns and rows balance. Full directions for this form are found on page 3 of SF-424A.

Generally, applications for new grants will require use of only lines 1 and 5 in section A. In column (a), put the project title (or an easily understandable abbreviation). In column (b), put the OJJDP catalog number. New programs require only columns (c) and (d) (if there is additional funding from other sources). Line 1 requires only the total amounts of each funding source. Column (g) requires the total of all funding sources. Line 5, of course, totals all columns.

In section B, applicants will generally need to fill out columns (1) and (5). Under column (1), fill in the amounts as specified. If no funds are to be used under that specific category, enter "0." Be sure that the columns add up correctly.

Section C is required if non-Federal funds will be used for this grant.

In section D, applicants must break down the first year of funding into quarters and indicate the appropriate source of funds for each of these quarters.

Section E should be used only if the project is expected to last beyond the period of the initial award.

Detailed Budget

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

- The salary of each staff person involved in the project and the portion of that salary to be paid from the grant award.
- The fringe benefits paid to each staff person (such as pension, health insurance, etc.).
- The travel costs to be incurred due to the project (a specific list of destinations, expected dates, per diem rates, travel fares, and lodging expenses).
- Equipment purchased with funds from the project.
- All supplies required to complete the project.
- Any indirect costs established by the Federal Government for universities or other organizations (specify rate and source).

Budget Narrative

The Budget Narrative closely follows the content of the Detailed Budget. It must provide the justification for all costs. Among other things, it must explain how fringe benefits were calculated, how travel costs were arrived at, why particular items of equipment or supplies must be purchased, and how indirect costs are calculated (if applicable). The Budget Narrative should refer to specific parts of the Program Narrative in justifying items listed (particularly supplies, travel, and equipment). Finally, the applicant must show that all costs in the application are reasonable.

Program Narrative

All applications must include a complete Program Narrative. This narrative must fully describe the expected design and implementation of the proposed program. OJJDP issues specific solicitations that contain selection criteria and/or application requirements. Office of Justice Programs (OJP) Form 4000/3 provides additional instructions for writing this narrative. Applicants should follow the structure presented in the Selection Criteria portion of the solicitation.

Although not all solicitations will make direct mention of it, applicants should include a "timeline" of the project, including major milestones and publications. It will provide reviewers with a better grasp of what the applicant hopes to accomplish and how the applicant will reach the program goal.

Applicants should also include an abstract of the project (150–200 words). This abstract should briefly present the goal(s) and objectives of the project and how the applicant intends to accomplish both. It should be placed directly behind the SF-424.

Assurances and Certifications

OJP Form 4000/3, an attachment to SF-424, must be included when the application is sent to OJJDP. This form includes a list of assurances, which the applicant should read carefully and sign before submitting the application. These assurances govern the use of Federal funds for federally assisted projects.

Applications must also include OJP Form 4061/6, "Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements." The signed original of this form must be included with the signed original SF-424.

Checklist for OJJDP Applications

This checklist is provided for the applicant's convenience. Although not required, applicants are requested to send a copy of this completed checklist with the application.

Although applicants are free to compile the application in whatever order they wish, the order below is preferred by OJJDP.

- 1. Standard Form 424 (signed).
- 2. Abstract of Project (150–200 words).
- 3. Table of Contents.
- 4. Standard Form 424A.
- 5. Detailed Budget.
- 6. Budget Narrative.
- 7. Assurances (OJP Form 4000/3, signed).
- 8. Certifications (OJP Form 4061/6, signed).
- 9. Program Narrative (must address the specific selection criteria found in the solicitation).
- 10. Timeline of major milestones and publications.
- 11. Resumes of all personnel who will work on the project.
- 12. Four additional copies of the application package.

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED 9/1/91	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name: Juvenile Justice Center		Organizational Unit:	
Address (give city, county, state, and zip code): 7200 N. Lynn Street Arlington, VA 22201		Name and telephone number of the person to be contacted on matters involving this application (give area code): Weston Davis (703) 555-1256	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 00 - 9876543		7. TYPE OF APPLICANT: (enter appropriate letter in box)	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A Increase Award B Decrease Award C Increase Duration D Decrease Duration Other (specify): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify): <u>Non-Profit Organization</u>	
		9. NAME OF FEDERAL AGENCY: Office of Juvenile Justice and Delinquency Prevention	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 16 - 542 THE National Institute for Juvenile Justice and Delinquency Prevention		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Project to Expand and Improve Juvenile Restitution Programs	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): Arlington, VA			
13. PROPOSED PROJECT: Start Date: 10/1/91 Ending Date: 9/30/92		14. CONGRESSIONAL DISTRICTS OF: a. Applicant: 10 b. Project: 10	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a Federal	\$ 100,000.00	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 checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$.00		
e. Other	\$.00		
f. Program Income	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. TOTAL	\$ 100,000.00	<input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative Hedda Cathmar		b. Title Executive Director	c. Telephone number (703) 555-3478
d. Signature of Authorized Representative		e. Date Signed 9/1/91	

INSTRUCTIONS FOR THE SF-424

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) & 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:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "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 INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. National Study	16.542	\$	\$	\$ 100,000	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$ 100,000	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ 60,000	\$	\$	\$	\$ 60,000
b. Fringe Benefits	9,000				9,000
c. Travel	2,000				2,000
d. Equipment	5,000				5,000
e. Supplies	3,500				3,500
f. Contractual	15,500				15,500
g. Construction	0				0
h. Other	5,000				5,000
i. Total Direct Charges (sum of 6a - 6h)	100,000				100,000
j. Indirect Charges	0				0
k. TOTALS (sum of 6i and 6j)	\$ 100,000	\$	\$	\$	\$ 100,000
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$ NA	\$ NA	\$ NA	\$ NA	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$100,000	\$ 25,000	\$ 25,000	\$ 25,000	\$ 25,000
14. NonFederal	0	0	0	0	0
15. TOTAL (sum of lines 13 and 14)	\$100,000	\$ 25,000	\$ 25,000	\$ 25,000	\$ 25,000
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 -19)	\$ 0	\$ 0	\$ 0	\$ 0	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges: NA		22. Indirect Charges: NA			
23. Remarks					

Appendix B.

Peer Review Information



Guideline

OJP G 4062.8

October 15, 1990

Subject: OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION (OJJDP)
PEER REVIEW GUIDELINE

1. PURPOSE. This Guideline provides instructions for peer reviewers utilized by the Office of Juvenile Justice and Delinquency Prevention (OJJDP) and establishes procedures OJJDP will utilize in organizing and conducting peer reviews of applications submitted for funding. This Guideline implements the Department of Justice, OJJDP, Regulation on Competition and Peer Review Policy, 28 CFR Part 34. (See appendix 1.)
2. SCOPE. The provisions of this Guideline apply to all grant applications submitted to OJJDP that require peer review. The requirements and procedures discussed herein are of interest to applicants, peer reviewers, and OJJDP employees.
3. BACKGROUND.
 - a. The Juvenile Justice and Delinquency Prevention (JJDP) Act of 1974, 42 U.S.C. 5601, et. seq., as amended by the Juvenile Justice and Delinquency Prevention Amendments of 1988, Subtitle F of Title VII of Pub. L. 100-690, Nov. 18, 1988, (hereinafter referred to as the "Act") requires that applications submitted for Part C discretionary funds be reviewed by a panel of experts from outside the Department of Justice.
 - b. While OJJDP had previously utilized peer review to assist in the selection of grants for award, the 1988 amendments included several important changes in OJJDP competition and peer review requirements for categorical (discretionary) assistance programs. Previously, Title II had contained different, or had no, competition and peer review requirements for each of the three categorical programs established in Parts A, B, and C of Title II. The 1988 amendments consolidated all of OJJDP's Title II categorical programs (Special Emphasis, Research, Demonstration, Evaluation, Technical Assistance, and Training) in Part C, National Programs, of the Act, and now require all such applications to be reviewed through a formal peer review process (except grants made under Section 241(f) to an eligible organization of State advisory groups).
 - c. Under the 1988 amendments, all presently funded OJJDP grants and cooperative agreements require peer review in order to be considered for continuation (new project period) funding. Further, all continuation and other noncompetitive applications with the exception of training grants funded pursuant to Section 241(f), must be found to be of outstanding merit based

on the ratings of majority of the members of a Peer Review Panel in order to be eligible for an award without competition. In order to be eligible for an award without competition, training applications require both peer review and a written determination by the Administrator that the applicant is uniquely qualified to provide the proposed training services and that other qualified sources are not capable of providing such services.

- d. Accomplishment of OJJDP's mission to provide a comprehensive and coordinated approach to the problems of juvenile delinquency is dependent, to a large extent, upon the success of the programs and projects it funds. Inherent in this success is the careful and informed selection of projects for funding. A very important element of this 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.

4. PEER REVIEW POLICY.

- a. It is the policy of the OJJDP to use peer review in the assessment of all assistance applications for new awards and for continuation projects seeking funding beyond the original project period except in instances listed below which are specifically excluded under the terms of the OJJDP Competition and Peer Review Regulation:
 - (1) Assistance awards of funds transferred to OJJDP by another Federal agency to augment authorized juvenile justice programs, projects, or purposes;
 - (2) Funds transferred to other Federal agencies by OJJDP for program purposes as authorized by law;
 - (3) 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 government;
 - (4) Assistance awards from the 5% set aside of Special Emphasis funds under Section 261(e); and
 - (5) Assistance awards under Section 241(f).
- b. Peer review recommendations are advisory only and not binding on the OJJDP Administrator except in the case of noncompetitive, new, or nontraining continuation applications that are determined through peer review not to be of such outstanding merit as to justify a noncompetitive award. Awards made to applicants "uniquely qualified to provide

proposed training services" pursuant to Section 244 need not be rated outstanding in order to merit award. Although the Act requires peer review for all Part C programs, the final decision whether or not to fund a program rests solely with the OJJDP Administrator. The Administrator will, however, give due consideration to peer review recommendations in the selection of projects for award.

- c. In special circumstances, a grant application may require a second review. When a second review is required, the Administrator will determine whether the panel will be composed of new reviewers, the original reviewers, or a combination of both, depending on the circumstances. Instances wherein a second review might be necessary include the following situations:
- (1) During the course of a review, prejudiced, misleading, or false information was presented to the peer reviewers.
 - (2) A procedural error occurred that resulted in the review process being inconsistent with the program announcement, specific instructions to the applicants, or the OJJDP Peer Review Regulation.

5. DEFINITIONS.

- a. Competition and Peer Review Coordinator is an OJJDP employee designated by the Administrator to oversee all aspects of the peer review process.
- b. Competitive Awards are those made under OJJDP program announcements (published in the Federal Register) that inform the public of the availability of funds for specific purposes and invite formal applications (or, in some instances, pre-applications). The selection criteria to be applied by the peer reviewers are listed in the Federal Register announcement. Applications are reviewed by a Peer Review Panel and recommendations are made to the Administrator.
- c. Division Director is the Director of any one of the following OJJDP divisions: Research and Program Development Division; Special Emphasis Division; State Relations and Assistance Division; or, Training, Dissemination and Technical Assistance Division.
- d. Financial Review refers to review by the Financial Management Grants Assistance Division of the Office of Justice Programs, Office of the Comptroller, to determine that budgeted costs are reasonable, allowable, and cost effective for activities proposed to be undertaken. All applicants must meet OJP standards of fiscal integrity (as described in the current editions of OJP M 7100.1, paragraph 24 and OJP HB 4500.2, chapter 3). This financial review occurs after the

Administrator has made a decision to process the application for an award. The fact that a complete financial review will be conducted by OJP does not obviate the need for the peer reviewers to rate the application's responsiveness to the selection criteria with regard to the budget and cost effectiveness.

- e. Internal Reviewer is an officer or employee of the Department of Justice qualified by experience and expertise to conduct appropriate application/program reviews.
- f. Internal Review Group consists of those internal reviewers selected to review preapplications or applications submitted to OJJDP in response to a competitive program announcement, to review a noncompetitive application(s), or to review and evaluate the recommendations of a Peer Review Panel as part of the internal review process.
- g. Noncompetitive Awards are those made in the absence of program announcements inviting applications. These may include new awards or awards to continue substantially the same activity for a new project period. Awards for a new project period, are routinely described as continuation awards. Noncompetitive applications must be determined to be of outstanding merit by a Peer Review Panel in order to be eligible for funding without competition unless they are training grants to uniquely qualified applicants funded under Section 244 of the Act.
- h. Nontraining Application refers to an application that is not funded under Section 244 of the Act.
- i. Peer Reviewer is an expert selected to advise on the merit of applications submitted for funding. The peer reviewer is an expert in a field related to the subject matter of the proposed program and must not be an officer or employee of the Department of Justice.
- j. Peer Reviewer Recommendations consist of ratings or summary rankings of preapplications or applications for the purpose of making recommendations to the Administrator regarding the selection of applications for funding.
- k. Peer Review Panel consists of three or more experts selected to review, evaluate, and make recommendations with respect to preapplications or applications submitted to OJJDP in response to a competitive program announcement or to review a single noncompetitive application.
- l. Preapplication refers to an abbreviated application or concept paper. Preapplications may be requested in the case of competitive programs for which a large number of applications is expected. Preapplications will be reviewed by OJJDP staff

to eliminate those that fail to meet minimum program requirements, as specified in a program announcement, or clearly lack sufficient merit to qualify as potential candidates for funding consideration. If the Administrator finds it advisable, preapplications may be subjected to the peer review process.

- m. Program Announcement refers to a notice published in the Federal Register that invites applications responsive to a specific program and set of requirements.
- n. Program Manager is an individual member of the OJJDP staff who is directly responsible for the specific application(s) being peer reviewed.
- o. Ranking is an application's relative position, based on summary ratings.
- p. Ratings are scores assigned by individual reviewers based on the application's responsiveness to the selection criteria.
- q. Summary Ratings are the averages of the total scores assigned to each application by each peer reviewer.
- r. Training Applications are those proposals to begin or continue training services to be funded under Part C, Section 244 of the Act.

6. PEER REVIEW PROCEDURES.

- a. Number of Peer Reviewers on Each Panel. The number of reviewers constituting a Peer Review Panel will vary by program (as affected by the volume of applications anticipated or received and the range of expertise required). A minimum of three peer reviewers will review each application.
- b. Peer Reviewer Qualifications. The Administrator of OJJDP selects and approves qualified consultants from a peer review pool to serve as peer reviewers for each application or group of applications. The general criteria to be used by the Administrator in the selection of peer reviewers are:
 - (1) Generalized knowledge of juvenile justice or related fields; and
 - (2) Specialized knowledge in areas or fields addressed by the applications to be reviewed under a particular program.
- c. Peer Review Pool.
 - (1) An OJJDP 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 Administrator or his/her designee. This pool is maintained for peer review purposes as well as other technical assistance purposes and includes a sufficient number of experts to meet the Office's peer review needs.

- (2) The Peer Review Pool is managed by an OJJDP support contractor. The consultants are subcontractors employed by the contractor. Consultant experts are continually added to the pool with the goal of including a wide range of expertise, experience, background, and geographic representation. Consultants performing peer review are reimbursed by the support contractor at a flat rate established by the Administrator, OJJDP.
- (3) Individuals wishing to be considered for enrollment in the consultant pool may submit their credentials to the Competition and Peer Review Coordinator, or to the OJJDP support contractor who will evaluate their qualifications for inclusion in the consultant pool. If a panelist subsequently agrees to perform a peer review task and fails to fulfill his/her obligation without substantial justification, the Administrator may request that the support contractor remove the panelist from the Peer Review Pool. Reviewers who fail to satisfactorily complete their assignments will not be reimbursed for their work.

d. Selection of Peer Review Panels.

- (1) The Program Manager may recommend qualified reviewers known to him/her to the support contractor and shall request the support contractor to assist with the nomination process by providing a listing of qualified reviewers in specific topical areas. In all instances, the consultant expert must be enrolled in the Peer Review Pool to be eligible to serve as a panelist.
- (2) The Program Manager, through his/her Division Director, will recommend to the Administrator a group of potential reviewers from the Peer Review Pool. The Administrator may select reviewers from this list, or return the list for the addition of other qualified consultant experts enrolled in the Peer Review Pool. In making the recommendations, the Program Manager will take care to nominate reviewers with specialized areas of expertise applicable to the particular review.
- (3) The Program Manager, with the concurrence of the Division Director, shall submit his/her recommendations via a memorandum to the Administrator. The suggested reviewers should be listed in order of preference and their resumes shall be attached to the approval

memorandum. A copy of the memorandum shall be provided to the Competition and Peer Review Coordinator who will notify the support contractor and the Division Director of the panel composition following the Administrator's approval.

- (4) 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 in Peer Review Panel's are the following:
 - (a) Each member should have expertise in or complementary to the subject area under review.
 - (b) Where possible, the Peer Review Panel should be comprised of a mix of researchers, practitioners, and academicians.
 - (c) Panel members should be drawn from as wide a geographic area as practical.
 - (d) Special attention should be paid to obtaining qualified reviewers from under represented groups such as minorities and women.
 - (e) Where appropriate, the Peer Review Panel should be comprised of a mix of experts from the public and private sectors including community based youth serving organizations.
- (5) The Administrator of OJJDP shall have final selection and approval authority over the appointment of Peer Review Panels.

7. INTERNAL REVIEW.

- a. An internal review of applications or preapplications will be conducted by the Program Manager and/or by other DOJ staff designated by the Administrator.
- b. The first stage of the internal review will determine if the application(s) is in compliance 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 than that specified in the program announcement; and applications from agencies or organizations that do not possess the qualifications specified in the program announcement.)

- c. A second internal review takes place after the completion of the external peer review. At this point 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(s); any significant problems encountered during the review; suitability of the applicant(s); and significant recommendations for modifying or enhancing the application(s) being recommended for funding. The memorandum will close with a formal recommendation to the Administrator concerning funding. Any problems related to the review process or the applicant's eligibility should immediately be brought to the attention of the Competition and Peer Review Coordinator by the Program Manager.

8. PEER REVIEW.

- a. Peer review may be conducted by mail or in meetings, or through a combination of both. A peer review meeting is the preferred method when practicable. The meetings allow for useful dialogue 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, assure that each application receives equal consideration.
- b. Infrequently, it may be necessary for peer reviewers to make site visits. In all instances OJJDP will determine the necessity of site visits. Should a Peer Review Panel believe that it cannot finalize a recommendation without a site visit, the Peer Review Panel should make a request in writing to the Competition and Peer Review Coordinator who will present the request to the Administrator. The final decision is that of the Administrator.
- c. For peer reviews that involve meetings, Peer Review Panel members will be gathered together for instruction, including a review of the program announcement, selection criteria, and peer review procedures. The Competition and Peer Review Coordinator will provide general oversight for the peer review session. The Program Manager will be available to provide interpretation of the program announcement and, in the case of continuation applications, information concerning a grantee's past performance. The Program Manager will provide objective information concerning the program requirements and the applicant's performance history and shall not reveal

his/her personal bias about the application(s) to the Peer Review Panel. The OJJDP support contractor will provide staff to facilitate and record the meeting and to prepare a summary of the proceedings.

- d. Where time or other relevant factors, such as cost, preclude the convening of a Peer Review Panel meeting, mail reviews, with appropriate instructions, will be used.

9. SELECTION CRITERIA.

- a. All applications will, at a minimum, be rated on the extent to which they meet the following general selection criteria:

- (1) The problem to be addressed by the project is clearly stated;
- (2) The objectives of the proposed project are clearly defined;
- (3) The project design is sound and contains program elements directly linked to the achievement of project objectives;
- (4) The project management structure is adequate to the successful conduct of the project;
- (5) Organizational capability is demonstrated at a level sufficient to successfully support the project; and
- (6) Budgeted costs are reasonable, allowable and cost effective for the activities proposed to be undertaken.

- b. Each competitive program announcement will indicate any additional program-specific review criteria to be considered in the peer review for that program. For noncompetitive applications, criteria may be added to the rating review forms that may address such matters as an applicant's past performance. In instances where supplemental criteria will be added, the applicant will receive written notification of the specific supplemental criteria. The assigned weights for each criterion will be specified in the program announcement, or in the case of noncompetitive applications, the applicant will be notified in writing.

10. SCORING OF APPLICATIONS.

- a. Competitive Applications. For competitive applications, the maximum score on each criterion shall be indicated in the program announcement and the total possible score for all criteria shall equal 100 points. By way of illustration:

- (1) Statement of the problem --- 20 points.

- (2) Definition of objectives --- 20 points.
 - (3) Project design --- 20 points.
 - (4) Management structure --- 15 points.
 - (5) Organizational capability --- 15 points.
 - (6) Reasonableness of costs --- 10 points.
- b. For competitive applications the ratings of the applications will constitute each peer reviewer's recommendation. Summary ratings will be calculated from numerical scores assigned by the individual reviewers to each application according to the selection criteria. The ranking of each application will be based on its summary rating. There will be instances where the ranking does not reflect the majority of ratings of the peer reviewers. In such cases, the Administrator will consider this information in making a selection of an application for funding. The rating categories are as follows:
- (1) (80-100 points). Responsive with no significant revisions required.
 - (2) (65-79 points). Responsive with minor revisions required.
 - (3) (55-64 points). Minimally responsive with major deficiencies that would require extensive correction.
 - (4) (0-54 points). Not responsive.
- c. Noncompetitive Applications. For noncompetitive applications the rating of the application will constitute the peer reviewer's recommendation. The ratings will be calculated from numerical scores assigned by the individual peer reviewers to the application according to the selection criteria. The rating categories for noncompetitive applications are the same as referenced above for competitive applications, as follows:
- (1) (80-100 points). Responsive with no significant revisions required.
 - (2) (65-79 points). Responsive with minor revisions required.
 - (3) (55-64 points). Minimally responsive with major deficiencies that would require extensive correction.
 - (4) (0-54 points). Not responsive.

- d. All nontraining new and continuation applications not submitted in response to a program announcement that receive a rating of 80 or more points from a majority of the reviewers will be considered as having been determined to be of outstanding merit as required by Section 262(B)(i)(II) of the Act.

11. RESULTS OF PEER REVIEW.

- a. Peer review recommendations, in conjunction with the results of internal review, assist the Administrator in the final selection of applications for funding.
- b. In all instances the peer reviewers are encouraged to make suggestions for enhancing the project design.
- c. Occasionally, supplementary reviews are conducted. Supplementary reviews are those performed by peer reviewers which are necessary for particular programs or project applications:
 - (1) To address highly technical aspects of applications which initial Peer Review Panel members are not qualified to address; and
 - (2) In the event of conflicts of interest or other disqualifying circumstance within the Peer Review Panel resulting in an insufficient number of reviews.
- d. Peer review recommendations are advisory only and are binding on the Administrator only as provided by Section 262(d)(1)(B)(i) of the Act or noncompetitive assistance awards to programs determined through peer review not to be of such outstanding merit that an award without competition is justified. In such cases, the determination of whether to issue a competitive program announcement will be the decision of the Administrator.

12. STANDARDS OF CONDUCT. All peer review panelists will be treated as if they are "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; see appendix 2).

13. CONFLICTS OF INTEREST.

- a. In addition to the general Department of Justice (DOJ) conflict of interest rules set forth in its Standards of Conduct, OJJDP peer reviewer panelists are subject to the following rule with respect to conflict of interest.
- b. It is OJJDP peer review 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.

Use of individuals shall be avoided where the following situations or relationships are known:

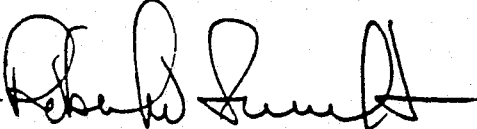
- (1) The peer reviewer has been, or would be, directly involved in the project (e.g., as an advisory board member, a consultant, collaborator, or as a conference speaker whose expenses would be paid from the grant).
 - (2) The peer reviewer is from the same institution or organization as the applicant or was employed there within the past year.
 - (3) The peer reviewer and the applicant have collaborated recently on work related to the proposal.
 - (4) The peer reviewer is under consideration for a position at the applicant's organization or institution.
 - (5) The peer reviewer has served in an official capacity with the applicant's organization within the past year.
 - (6) 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.
 - (7) The peer reviewer and the applicant have a family relationship.
 - (8) The peer reviewer and the project director or other key personnel identified in the application have been related as a student and thesis advisor or post-doctoral advisor.
 - (9) The peer reviewer and applicant are known to be close friends or open antagonists.
 - (10) The peer reviewer has a proposal planned for submission or currently under review within the same subject area.
 - (11) The peer reviewer has had a recent declination, substantial budget reduction, or other unfavorable action from the OJJDP.
 - (12) The peer reviewer is currently directly involved in a closely associated project.
- c. The above situations should be considered by the Program Manager before an individual peer reviewer is recommended to serve on a peer review panel and by the panelist before he/she 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 Competition and Peer

Review Coordinator by the Program Manager, Division Director, OJJDP support contractor, or the peer reviewer.

- d. During the course of a review, should a peer reviewer have any question that he/she may have a conflict or an appearance of a conflict, the reviewer should immediately notify the Competition and Peer Review Coordinator, or the support contractor's representative assigned to facilitate the review.
14. 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 about the Peer Review Panelist's deliberations or recommendations to any one. Application materials and information about the Peer Review Panelist's 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 Competition and Peer Review Coordinator. Any persons requesting information about the review process, or about a specific application, should be referred to the Competition and Peer Review Coordinator.
15. INFORMING PEER REVIEWERS OF ACTION. OJJDP staff workloads normally preclude routine notice to each reviewer of the action taken on specific proposals. Peer reviewer inquiries should be addressed in writing to the OJJDP Program Manager. An information copy should be forwarded by the Program Manager to the Competition and Peer Review Coordinator.
16. INFORMING APPLICANTS OF PEER REVIEWER COMMENTS. Unsuccessful applicants will receive (on their proposal only) either a summary of panelist comments which specify application deficiencies, or copies of panelist rating and comment sheets (with panelist identification removed). When summaries are provided initially, copies of panelist rating and comment sheets will be provided if an applicant specifically requests these documents. Likewise, successful applicants may receive both summaries of panelist comments and verbatim copies of peer reviews (excluding panelist identification). Requests for peer reviewer's comments should be submitted in writing to the Program Manager. An information copy should be forwarded by the Program Manager to the Competition and Peer Review Coordinator.
17. 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 will be eligible for reimbursement for travel expenses, including per diem in lieu of subsistence, as authorized by Section 5703 of Title 5, United States Code. Vouchers and any other necessary reimbursement

forms will be provided to the reviewers by the support contractor.

18. MANAGEMENT OF THE PEER REVIEW PROCESS. A technical support contractor will assist the OJJDP Program Manager in managing the peer review process. In addition to providing assistance during the peer review meeting, the support contractor will procure the meeting site, record and summarize the meeting, and reimburse the panelists for travel, lodging, and consulting fees.



ROBERT W. SWEET, JR.

Administrator

Office of Juvenile Justice and Delinquency Prevention

OJP G 4062.8
October 15, 1990

**APPENDIX 1. OJJDP COMPETITION AND PEER REVIEW PROCEDURES; FINAL
COMPETITION AND REVIEW REGULATION**

Federal Register

Tuesday
September 25, 1990

Part II

**Department of
Justice**

Office of Juvenile Justice and
Delinquency Prevention

28 CFR Part 34
OJJDP Competition and Peer Review
Procedures; Final Competition and
Review Regulation

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APPENDIX 1. (CONT'D)

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DEPARTMENT OF JUSTICE

Office of Juvenile Justice and
Delinquency Prevention

28 CFR Part 34

OJJDP Competition and Peer Review
Procedures

AGENCY: Office of Justice Programs,
Office of Juvenile Justice and
Delinquency Prevention.

ACTION: Final competition and peer
review regulation.

SUMMARY: The Office of Juvenile Justice and Delinquency Prevention (OJJDP) has revised its competition and peer review regulation, originally published at 50 FR 31361, August 2, 1985, and codified at 28 CFR part 34, to implement the expanded competition and peer review requirements of section 262(d) of the Juvenile Justice and Delinquency Prevention Act of 1974, 42 U.S.C. 5601 *et seq.*, as amended by the Juvenile Justice and Delinquency Prevention Amendments of 1988, subtitle F of title VII of Public Law 100-690, November 18, 1988 (hereinafter "Act"). The regulation governs the award of categorical grant funds under part C—National Programs, of the Act.

EFFECTIVE DATE: This regulation is effective on September 25, 1990.

FOR FURTHER INFORMATION CONTACT: Roberta Dorn, Office of the Administrator, Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice, Washington, DC 20531. Telephone: (202) 307-3088.

SUPPLEMENTARY INFORMATION: The following supplementary information is provided.

Background Information

A proposed rule was published in the Federal Register on February 7, 1989, for public comment. No comments were received. This final regulation is essentially the same as the proposed rule. However, the "Peer Review Manual" referenced in the proposed rule is hereinafter known as the "Peer Review Guideline" in conformity with the directives system of the Office of Justice Programs. Copies of "Guideline" are available upon request from the Office of the Administrator, 633 Indiana Avenue, NW., Washington, DC 20531.

This regulation implements the competition and peer review requirements added to OJJDP's categorical assistance programs by the Juvenile Justice and Delinquency Prevention Amendments of 1988, subtitle F of title VII of Public Law 100-690, November 18, 1988. These

amendments consolidated OJJDP's title II categorical programs in part C of the Act. Previously, title II contained different, or had no, competition and peer review requirements for each of the three categorical programs established in parts A, B and C of title II. Now, pursuant to section 262(d), competition and peer review requirements have been standardized for all categorical programs funded under part C—National Programs. The technical assistance and training program authority, which had been in part A, is now incorporated in part C, subpart I. Special Emphasis Prevention and Treatment Programs which had been under part B, subpart II, are now covered under subpart II of part C. The National Institute for Juvenile Justice and Delinquency Prevention programs remain in part C under subpart I. The retitled part C consolidates all these categorical programs, and all part C funds are governed by this revised regulation unless expressly excluded. (See § 34.2.)

Executive Order 12291

This announcement does not constitute a "major" rule as defined by Executive Order 12291 because it does not result in: (a) An effect on the economy of \$100 million or more, (b) a major increase in any costs or prices, or (c) adverse effects on competition, employment, investment, productivity, or innovation among American enterprises.

Regulatory Flexibility Act

This rule does not have "significant" economic impact on substantial number of small "entities", as defined by the Regulatory Flexibility Act (Pub. L. 96-354).

Paperwork Reduction Act

There are no collection of information requirements contained in this regulation required to be submitted to the Office of Management and Budget for review under the Paperwork Reduction Act, 44 U.S.C. 3504(h).

List of Subjects in 28 CFR Part 34

Grant programs, Juvenile delinquency.

Accordingly, title 28 Code of Federal Regulations, part 34, is revised to read as follows:

PART 34—OJJDP COMPETITION AND
PEER REVIEW PROCEDURES

Subpart A—Competition

Sec.
34.1 Purpose and applicability.
34.2 Exceptions to applicability.

Sec.

34.3 Selection criteria.

34.4 Additional competitive application requirements and procedures.

Subpart B—Peer Review

34.100 Purpose and applicability.

34.101 Exceptions to applicability.

34.102 Peer review procedures.

34.103 Definition.

34.104 Use of peer review.

34.105 Peer review methods.

34.106 Number of peer reviewers.

34.107 Use of Department of Justice staff.

34.108 Selection of reviewers.

34.109 Qualifications of peer reviewers.

34.110 Management of peer reviews.

34.111 Compensation.

Subpart C—Emergency Expedited Review
[Reserved]

Authority: Juvenile Justice and Delinquency Prevention Act of 1974, as amended, (42 U.S.C. 5601 *et seq.*).

Subpart A—Competition

§ 34.1 Purpose and applicability.

(a) This subpart of the regulation implements section 262(d)(1) (A) and (B) of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended (42 U.S.C. 5601 *et seq.*). This provision requires that project applications, selected for categorical assistance awards under part C—National Programs shall be selected through a competitive process established by rule by the Administrator, OJJDP. The statute specifies that this process must include announcement in the Federal Register of the availability of funds for assistance programs, the general criteria applicable to the selection of applications for assistance, and a description of the procedures applicable to the submission and review of assistance applications.

(b) This subpart of the regulation applies to all grant, cooperative agreement, and other assistance awards selected by the Administrator, OJJDP, or the Administrator's designee, under part C—National Programs, of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, except as provided in the exceptions to applicability set forth below.

§ 34.2 Exceptions to applicability.

The following are assistance and procurement contract award situations that OJJDP considers to be outside the scope of the section 262(d)(1) competition requirement:

(a) Assistance awards to initially fund or continue projects if the Administrator has made a written determination that the proposed program is not within the scope of any program announcement expected to be issued, is otherwise eligible for an award, and the proposed

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project is of such outstanding merit, as determined through peer review under subpart B of this part, that an assistance award without competition is justified (section 262(d)(1)(B)(i));

(b) Assistance awards to initially fund or continue training services to be funded under part C, section 244, if the Administrator has made a written determination that the applicant is uniquely qualified to provide proposed training services and other qualified sources are not capable of providing such services (section 262(d)(1)(B)(ii));

(c) Assistance awards of funds transferred to OJJDP by another Federal agency to augment authorized juvenile justice programs, projects, or purposes;

(d) Funds transferred to other Federal agencies by OJJDP for program purposes as authorized by law;

(e) 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 government;

(f) Assistance awards from the 5% "set aside" of Special Emphasis funds under section 261(e); and

(g) Assistance awards under section 241(f).

§ 34.3 Selection criteria.

(a) All individual project applications will, at a minimum, be subject to review based on the extent to which they meet the following general selection criteria:

(1) The problem to be addressed by the project is clearly stated;

(2) The objectives of the proposed project are clearly defined;

(3) The project design is sound and contains program elements directly linked to the achievement of project objectives;

(4) The project management structure is adequate to the successful conduct of the project;

(5) Organizational capability is demonstrated at a level sufficient to successfully support the project; and

(6) Budgeted costs are reasonable, allowable and cost effective for the activities proposed to be undertaken.

(b) The general selection criteria set forth under paragraph (a) of this section, may be supplemented for each announced competitive program by program-specific selection criteria for the particular part C program. Such announcements may also modify the general selection criteria to provide greater specificity or otherwise improve their applicability to a given program. The relative weight (point value) for each selection criterion will be specified in the program announcement.

§ 34.4 Additional competitive application requirements and procedures.

(a) *Applications for grants.* Any applicant eligible for assistance may submit on or before such submission deadline date or dates as the Administrator may establish in program announcements, an application containing such pertinent information and in accordance with the forms and instructions as prescribed therein and any additional forms and instructions as may be specified by the Administrator. Such application shall be executed by the applicant or an official or representative of the applicant duly authorized to make such application and to assume on behalf of the applicant the obligations imposed by law, applicable regulations, and any additional terms and conditions of the assistance award. The Administrator may require any applicant eligible for assistance under this subpart to submit a preliminary proposal for review and approval prior to the acceptance of an application.

(b) *Cooperative arrangements.* (1) When specified in program announcements, eligible parties may enter into cooperative arrangements with other eligible parties, including those in another State, and submit joint applications for assistance.

(2) A joint application made by two or more applicants for assistance may have separate budgets corresponding to the programs, services and activities performed by each of the joint applicants or may have a combined budget. If joint applications present separate budgets, the Administrator may make separate awards, or may award a single assistance award authorizing separate amounts for each of the joint applicants.

(c) *Evaluation of applications submitted under part C of the Act.* All applications filed in accordance with § 34.1 of this subpart for assistance with part C—National Programs funds shall be evaluated by the Administrator through OJJDP and other DOJ personnel (internal review) and by such experts or consultants required for this purpose that the Administrator determines are specially qualified in the particular part C program area covered by the announced program (peer review). Supplementary application review procedures, in addition to internal review and peer review, may be used for each competitive part C program announcement. The program announcement shall clearly state the application review procedures (peer review and other) to be used for each competitive part C program announcement.

(d) *Applicant's performance on prior award.* When the applicant has previously received an award from OJJDP or another Federal agency, the applicant's noncompliance with requirements applicable to such prior award as reflected in past written evaluation reports and memoranda on performance, and the completeness of required submissions, may be considered by the Administrator. In any case where the Administrator proposes to deny assistance based upon the applicant's noncompliance with requirements applicable to a prior award, the Administrator shall do so only after affording the applicant reasonable notice and an opportunity to rebut the proposed basis for denial of assistance.

(e) *Applicant's fiscal integrity.* Applicants must meet OJP standard of fiscal integrity (see OJP M 7100.1C, par. 24 and OJP HB 4500.2B, par. 48 a and b).

(f) *Disposition of applications.* On the basis of competition and applicable review procedures completed pursuant to this regulation, the Administrator will either:

(1) Approve the application for funding, in whole or in part, for such amount of funds, and subject to such conditions as the Administrator deems necessary or desirable for the completion of the approved project;

(2) Determine that the application is of acceptable quality for funding, in that it meets minimum criteria, but that the application must be disapproved for funding because it did not rank sufficiently high in relation to other applications approved for funding to qualify for an award based on the level of funding allocated to the program; or

(3) Reject the application for failure to meet the applicable selection criteria at a sufficiently high level to justify an award of funds, or for other reason which the Administrator deems compelling, as provided in the documentation of the funding decision.

(g) *Notification of disposition.* The Administrator will notify the applicant in writing of the disposition of the application. A signed Grant/Cooperative Agreement form will be issued to notify the applicant of an approved project application.

(h) *Effective date of approved grant.* Federal financial assistance is normally available only with respect to obligations incurred subsequent to the effective date of an approved assistance project. The effective date of the project will be set forth in the Grant/Cooperative Agreement form. Recipients may be reimbursed for costs resulting from obligations incurred before the

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effective date of the assistance award, if such costs are authorized by the Administrator in the notification of assistance award or subsequently in writing, and otherwise would be allowable as costs of the assistance award under applicable guidelines, regulations, and award terms and conditions.

Subpart B—Peer Review**§ 34.100 Purpose and applicability.**

(a) This subpart of the regulation implements section 282(d)(2) of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended. This provision requires that projects funded as new or continuation programs selected for categorical assistance awards under part C—National Programs shall be reviewed before selection and thereafter as appropriate through a formal peer review process. Such process must utilize experts (other than officials and employees of the Department of Justice) in fields related to the technical and/or subject matter of the proposed program.

(b) This subpart of the regulation applies to all applications for grants, cooperative agreements, and other assistance awards selected by the Administrator, OJJDP, for funding under part C—National Programs that are being considered for competitive and noncompetitive (including continuation) awards to begin new project periods, except as provided in the exceptions to applicability set forth below.

§ 34.101 Exceptions to applicability.

The assistance and procurement contract situations specified in § 34.2 (c), (d), (e), (f), and (g) of subpart A of this part are considered by OJJDP to be outside the scope of the section 282(d) peer review requirement as set forth in this subpart.

§ 34.102 Peer review procedures.

The OJJDP peer review process is contained in an OJJDP "Peer Review Guideline," developed in consultation with the Directors and other appropriate officials of the National Science Foundation and the National Institute of Mental Health. In addition to specifying substantive and procedural matters related to the peer review process, the "Guideline" addresses such issues as standards of conduct, conflict of interest, compensation of peer reviewers, etc. The "Guideline" describes a process that evolves in accordance with experience and opportunities to effect improvements. The peer review process for all part C—National Programs assistance awards

subject to this regulation will be conducted in a manner consistent with this subpart as implemented in the "Peer Review Guideline".

§ 34.103 Definition.

Peer review means the technical and programmatic evaluation by a group of experts (other than officers and employees of the Department of Justice) qualified by training and experience to give expert advice, based on selection criteria established under subpart A of this part, in a program announcement, or as established by the Administrator, on the technical and programmatic merit of assistance.

§ 34.104 Use of peer review.

(a) *Peer review for competitive and noncompetitive applications.* (1) For competitive applications, each program announcement will indicate the program specific peer review procedures and selection criteria to be followed in peer review for that program. In the case of competitive programs for which a large number of applications is expected, preapplications (concept papers) may be required. Preapplications will be reviewed by qualified OJJDP staff to eliminate those pre-applications which fail to meet minimum program requirements, as specified in a program announcement, or clearly lack sufficient merit to qualify as potential candidates for funding consideration. The Administrator may subject both pre-applications and formal applications to the peer review process.

(2) For noncompetitive applications, the general selection criteria set forth under subpart A of this part may be supplemented by program specific selection criteria for the particular part C program. Applicants for noncompetitive continuation awards will be fully informed of any additional specific criteria in writing.

(b) When formal applications are required in response to a program announcement, an initial review will be conducted by qualified OJJDP staff, in order to eliminate from peer review consideration applications which do not meet minimum program requirements. Such requirements will be specified in the program announcement. Applications determined to be qualified and eligible for further consideration will then be considered under the peer review process.

(c) Ratings will be in the form of numerical scores assigned by individual peer reviewers as illustrated in the OJJDP "Peer Review Guideline." The results of peer review under a competitive program will be a relative aggregate ranking of applications in the

form of "Summary Ratings." The results of peer review for a noncompetitive new or continuation project will be in the form of numerical scores based on criteria established by the Administrator.

(d) Peer review recommendations, in conjunction with the results of internal review and any necessary supplementary review, will assist the Administrator's consideration of competitive, noncompetitive, applications and selection of applications for funding.

(e) Peer review recommendations are advisory only and are binding on the Administrator only as provided by section 282(d)(B)(i) for noncompetitive assistance awards to programs determined through peer review not to be of such outstanding merit that an award without competition is justified. In such case, the determination of whether to issue a competitive program announcement will be subject to the exercise of the Administrator's discretion.

§ 34.105 Peer review methods.

(a) For both competitive and noncompetitive applications, peer review will normally consist of written comments provided in response to the general selection criteria established under subpart A of this part and any program specific selection criteria identified in the program announcement or otherwise established by the Administrator, together with the assignment of numerical values. Peer review may be conducted at meetings with peer reviewers held under OJJDP oversight, through mail reviews, or a combination of both. When advisable, site visits may also be employed. The method of peer review anticipated for each announced competitive program, including the evaluation criteria to be used by peer reviewers, will be specified in each program announcement.

(b) When peer review is conducted through meetings, peer review panelists will be gathered together for instruction by OJJDP, including review of the OJJDP "Peer Review Guideline". OJJDP will oversee the conduct of individual and group review sessions, as appropriate. When time or other factors preclude the convening of a peer review panel, mail reviews will be used. For competitive programs, mail reviews will be used only where the Administrator makes a written determination of necessity.

§ 34.106 Number of peer reviewers.

The number of peer reviewers will vary by program (as affected by the volume of applications anticipated or

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APPENDIX 1. (CONT'D)

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received). OJJDP will select a minimum of three peer reviewers (qualified individuals who are not officers or employees of the Department of Justice) for each program or project review in order to ensure a diversity of backgrounds and perspectives. In no case will fewer than three reviews be made of each individual application.

§ 34.107 Use of Department of Justice staff.

OJJDP will use qualified OJJDP and other DOJ staff as internal reviewers. Internal reviewers determine applicant compliance with basic program and statutory requirements, review the results of peer review, and provide overall program evaluation and recommendations to the Administrator.

§ 34.108 Selection of reviewers.

The Program Manager, through the Director of the OJJDP program division with responsibility for a particular

program or project will propose a selection of peer reviewers from an extensive and varied pool of juvenile justice and delinquency prevention experts for approval by the Administrator. The selection process for peer reviewers is detailed in the OJJDP "Peer Review Guideline".

§ 34.109 Qualifications of peer reviewers.

The general reviewer qualification criteria to be used in the selection of peer reviewers are:

(a) Generalized knowledge of juvenile justice or related fields; and

(b) Specialized knowledge in areas or disciplines addressed by the applications to be reviewed under a particular program.

(c) Must not have a conflict of interest (see OJP M7100.1C, par. 94).

Additional details concerning peer reviewer qualifications are provided in the OJJDP "Peer Review Guideline".

§ 34.110 Management of peer reviews.

A technical support contractor may assist in managing the peer review process.

§ 34.111 Compensation.

All peer reviewers will be eligible to be paid according to applicable regulations and policies concerning consulting fees and reimbursement for expenses. Detailed information is provided in the OJJDP "Peer Review Guideline".

Subpart C—Emergency Expedited Review—[Reserved]

Dated: August 29, 1990.

Robert W. Sweet, Jr.,

Administrator, Office of Juvenile Justice and Delinquency Prevention.

[FR Doc. 90-22832 Filed 9-24-90; 8:45 a.m.]

BILLING CODE 4410-18-M

Appendix C.

Certifications



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 sub-recipients shall certify and disclose accordingly.

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

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

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

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

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

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

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

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

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

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

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

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

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Appendix D.

Contact Lists

Criminal Justice Councils

Criminal Justice Councils are mandated by the Juvenile Justice and Delinquency Prevention Act of 1974 as amended subpart II, Section 262 (b) (5) (6) (7) and designated by the Governor of each State. The purpose of each State's Criminal Justice Council is to act as the sole agency for supervising the preparation and administration of the Juvenile Justice Delinquency Prevention Act State plan. Each council has the authority to implement the plan in conjunction with the State Advisory Group and to award Office of Juvenile Justice and Delinquency Prevention State formula grant funds.

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Juvenile Justice Specialists

The juvenile justice specialist has many roles and responsibilities within the Office of Juvenile Justice and Delinquency Prevention. First and foremost, he or she must ensure that a properly constructed State Advisory Group exists at all times, and that it functions according to all requirements of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, Subpart II, Section 262 (b) (5) (6) (7). The juvenile justice specialist must also see that the State plan (application for funding) is properly developed and submitted. The responsibility for ensuring that the approved State plan is legally implemented and adequately monitored also rests with the juvenile justice specialist, who must compile and submit annual monitoring reports and progress reports. Finally, the juvenile justice specialist awards, monitors, and evaluates subgrants to accomplish the objectives of the State plan.

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State Single Points of Contact

The State Single Points of Contact list is provided to assist the applicant in complying with Executive Order 12372, Intergovernmental Review of Federal Programs, which permits States to establish a State process for the review of Federal programs, to select which programs they wish to review, and to make their views known to the agency through a State "single point of contact" (SPOC). Applicants for grants which fall under any of the following programs must notify the State SPOC if the State has established a review process and the program has been selected by the State for review. Refer to the effective edition of I 1030.5, Requirements for Implementation of Executive Order 12372, Intergovernmental Review of Federal Programs, for implementation of this requirement.

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Appendix E.
Excerpts From the *Catalog of Federal*
Domestic Assistance

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION

16.540 JUVENILE JUSTICE AND DELINQUENCY PREVENTION—ALLOCATION TO STATES

(State Formula Grants)

FEDERAL AGENCY: OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

AUTHORIZATION: Juvenile Justice and Delinquency Prevention Act of 1974, Section 221-223, Public Law 93-415, as amended; Public Law 94-503, Public Law 95-115, Public Law 96-509, Public Law 98-473, Public Law 100-690, 42 U.S.C. 5601, et seq.

OBJECTIVES: To increase the capacity of State and local governments to support the development of more effective education, training, research, prevention, diversion, treatment, and rehabilitation programs in the area of juvenile delinquency and programs to improve the juvenile justice system.

TYPES OF ASSISTANCE: Formula Grants.

USES AND USE RESTRICTIONS: This program, established by the Juvenile Justice and Delinquency Prevention Act of 1974, allocates formula grant funds to States and territories on the basis of their relative population under age 18. The minimum allocation to each State is \$325,000 and to the Territories, Guam, the Virgin Islands, the Republic of Palau, the Marshall Islands, Micronesia, and the Mariana Islands is \$75,000. If the Title II appropriation equal or exceeds \$75 million dollars (other than part D) the minimum allocation is \$400,000 per State and \$100,000 per Territory. State and Territory allocations will be reduced prorata to the extent necessary to ensure that no State receives less than it was allotted in fiscal year 1988. Technical Assistance: Not in excess of two percent of the funds available each fiscal year to Formula Grants is available for grants and contracts with public and private agencies, organizations and individuals to provide assistance to States, units of general local governments, and combinations thereof, and local private agencies to facilitate compliance with Section 223 of the JJDP Act and implementation of the State Plan approved by OJJDP. Technical assistance provided under this provision must be coordinated with the State agencies designated to implement the Formula Grants program. To be eligible, a State must submit a comprehensive plan applicable to a three-year period embodying the purposes of the Act and including provisions that: (1) provide for an advisory group appointed by the chief executive of the State to carry out specified functions and to participate in the development and review of the State's juvenile justice plan; (2) provide within three years of submission of the initial plan that juveniles who are charged with or who have committed offenses that would not be criminal if committed by an adult, or offenses which do not constitute violations of valid court orders or such nonoffenders as dependent and neglected children, are removed from secure juvenile detention and secure correctional facilities; (3) provide that juveniles alleged to be or found to be delinquent and youths within the purview of the deinstitutionalization mandate not be confined or detained in any institution in which they have regular contact with adult persons incarcerated because they have been convicted of a crime or are awaiting trial on criminal charges; and (4) provide that beginning after December 8, 1988 no juvenile shall be detained or confined in any jail or lockup for adults (with specified exceptions). Once the plan is approved, each State determines the specific use of funds. The States are responsible for processing applications for funds and administering funded projects. Two-thirds of funds must be passed through to units of local government, private nonprofit agencies, and Indian Tribes performing law enforcement functions unless a waiver is granted.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility: The Chief Executive of each State which chooses to apply for a formula grant shall establish or designate a

State agency as the sole agency for supervising the preparation and administration of the plan, in accordance with the Juvenile Justice Amendments of 1984. Technical Assistance: Grants and contracts may only be made to agencies, organizations and individuals that have experience in providing technical assistance to State agencies in implementing State plans, and in facilitating compliance with Section 223 of the JJDP Act. (Public Law 98-473).

Beneficiary Eligibility: Units of a State and its local government, public and private organizations, Indian tribes performing law enforcement functions, and agencies involved in juvenile delinquency prevention, treatment, and rehabilitation.

Credentials/Documentation: Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination: The standard application forms as furnished by the Federal agency, in accordance with 28 CFR, Part 66 (Common Rule), must be used for this program. An environmental impact assessment is necessary for this program to determine if an environmental impact statement is required. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs." An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

Application Procedure: The Juvenile Justice and Delinquency Prevention Formula Grant Plan is submitted to the Office of Juvenile Justice and Delinquency (OJJDP) following pre-established criteria. Refer to Section on Regulations, Guidelines and Literature. This program is excluded from coverage under OMB Circular No. A-110. Technical Assistance applications are solicited through standard government procurement procedures. Technical Assistance contracts are subject to the provisions of OMB Circular Nos. A-87, A-21, and A-122.

Award Procedure: Letter to Governor and designated State agency Director upon approval by OJJDP. The grant award must be signed by the Director and returned to OJJDP. Technical Assistance: Funds are awarded via contract with organizations, agencies, or individuals selected through competitive government procurement procedures.

Deadlines: Submission of Plan should occur by November 30th of each year unless negotiated with OJJDP. Technical Assistance: Deadlines for contracts are published in requests for proposals.

Range of Approval/Disapproval Time: No deadline for Formula Grant Plan component. Technical Assistance: Approval/disapproval time for contracts ranges from 1 to 3 months.

Appeals: Hearings held by OJJDP. Technical assistance: Federal Acquisition Regulations apply.

Renewals: Comprehensive Plan submission required every 3 years. Annual updates and applications required each of the other 2 years. Technical Assistance: Contracts are renewed throughout contract modifications and competition processes.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements: Formula based on population. Grantees are required to provide dollar for dollar match on planning funds. Action programs allow no match. At least 66 2/3 percent of the funds received by the State under Section 222(a) of the Juvenile Justice and Delinquency Prevention Act of 1974, must be "expended by" or "passed through to" programs of units of local government, private nonprofit agencies, and Indian tribes performing law enforcement functions, insofar as they are consistent with the State Plan. This provision may be waived at the discretion of the OJJDP Administrator for any State depending upon the extent to which the services for delinquent or potentially delinquent youth are supported on a statewide basis.

Length and Time Phasing of Assistance: Fiscal year action funds may be carried forward for obligation for 2 years subsequent to the fiscal year of award. Under a Letter of Credit, drawdowns may be made. Technical Assistance: Three year incremental contracts are funded.

POST ASSISTANCE REQUIREMENTS:

Reports: Financial, subgrant data and others as required by the effective edition of OJP Financial Guide (M 7100.1) on a monthly, quarterly and/or annual basis. A compliance monitoring report is required annually. See Section 223(a)(15) of the Act. A performance report is required annually, see Section 223a (22) of the Act. Section 204(b)(7) requires the auditing of State compliance monitoring systems in accordance with the effective edition of OJP Guideline Manual 7140.7, Audit of Compliance Monitoring Systems.

Audits: In accordance with provisions of OMB Circular No. A-128, "Audits of State and Local Governments," State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with OMB Circular No. A-128, or in accordance with Federal laws and regulations governing the programs in which they participate.

Records: Grantee must keep complete records on disposition of funds.

FINANCIAL INFORMATION:

Account Identification: 15-0401-0-1-754.

Obligations: (Grants) FY 90 \$53,038,704; FY 91 est \$52,710,500; and FY 92 est \$0. State Technical Assistance: FY 90 \$728,761; FY 91 est \$1,263,239; and FY 92 est \$0.

Range and Average of Financial Assistance: Allocates formula grants to States and territories on the basis of relative populations under 18.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1990, 56 States and territories participated in the Juvenile Justice Program. At least 75 percent of the funds available to each State were earmarked for "advanced techniques" in preventing delinquency, diverting juveniles from criminal justice systems, and providing community-based alternatives to traditional corrections methods. All participating States and territories are required to establish systems for monitoring jails, lock-ups and facilities which may be used to detain or incarcerate juveniles. Substantial progress has been made in the removal of non-offender juveniles from these institutions.

REGULATIONS, GUIDELINES, AND LITERATURE: Regulations for Formula Grants (28 CFR Part 31) and OJP Financial Guide (M7100.1C) applicable editions.

INFORMATION CONTACTS:

Regional or Local Office: None.

Headquarters Office: Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Telephone: (202) 307-5921. Contact: Eugene Rhoden.

RELATED PROGRAMS: 16.541, Juvenile Justice and Delinquency Prevention—Special Emphasis; 16.542, National Institute for Juvenile Justice and Delinquency Prevention.

EXAMPLES OF FUNDED PROJECTS: Individual projects receive funding at the discretion of the responsible designated State agencies. These include programs such as community-based services for the prevention and treatment of juvenile delinquency, group homes and halfway houses, screening and intake services to permit increased diversion from juvenile court processes, expanded use of probation and training for related personnel, and those activities which would remove status offenders from secure detention, separate juveniles from adults in institutions where they have contact with incarcerated adults or remove juveniles from adult jails or lockups.

CRITERIA FOR SELECTING PROPOSALS: Criteria are established by the Juvenile Justice and Delinquency Prevention Act, as amended, and the regulations governing the Formula Grant Program provisions of the Juvenile Justice and Delinquency Prevention Act as published in the Federal Register.

16.541 JUVENILE JUSTICE AND DELINQUENCY PREVENTION—SPECIAL EMPHASIS

(Program Grants, Discretionary Grants and Contracts)

FEDERAL AGENCY: OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

AUTHORIZATION: Juvenile Justice and Delinquency Prevention Act of 1974, Sections 261, 262, Public Law 93-415, as amended; Public Laws 94-503, 95-115, 96-509, 98-473, and 100-690, 42 U.S.C. 5601, et seq.

OBJECTIVES: To develop and implement programs that design, test, and demonstrate effective approaches, techniques and methods for preventing and controlling juvenile delinquency such as community based-alternatives to institutional confinement; developing and implementing effective means of diverting juveniles from the traditional juvenile justice and correctional system; programs stressing advocacy activities aimed at improving services to youth impacted by the juvenile justice system; model programs to strengthen and maintain the family unit; prevention and treatment programs relating to juveniles who commit serious crimes; and a national law-related education program of delinquency prevention.

TYPES OF ASSISTANCE: Project Grants (Cooperative Agreements or Contracts); Provision of Specialized Services.

USES AND USE RESTRICTIONS: To be eligible for a Special Emphasis Assistance Award or contract, an applicant must: (1) respond to legislative requirements contained in Section 261 (a) and (b) of the JJDP Act, as amended as well as specific program guidelines issued by the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (2) be consistent with the objectives and priorities of OJJDP and the State's comprehensive juvenile justice and delinquency prevention plan; (3) provide for proper program administration, evaluation, and fiscal reporting; (4) demonstrate, in the overall quality of the proposal, that the program is technically sound and will achieve the required program objectives at the highest possible level; (5) demonstrate that the proposed project meets the requirements of relative cost effectiveness pursuant to Section 262 (c1) and (c5) of the Juvenile Justice and Delinquency Prevention Act; and (6) respond to clear and documentable needs.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility: Special Emphasis funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public and private nonprofit agencies, organizations, individuals, State and local units of government, combinations of State or local units.

Beneficiary Eligibility: Public and private youth serving agencies/organizations, State and local units of government, combinations of such units, or other private agencies, organizations, institutions or individuals.

Credentials/Documentation: Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination: Special Emphasis: In some program initiatives, applicants are invited to submit preliminary applications or concept papers in response to program announcements issued by OJJDP. The original and one copy are sent to the OJJDP in Washington, DC, and where applicable one copy is sent to the Criminal Justice Council; or the original and two copies are sent to the OJJDP if the proposed program extends beyond State boundaries. Preliminary applications are not to exceed 15 pages, but may have supporting information in appendices. Preliminary applications are judged on program requirements according to pre-defined selection criteria. Those applicants judged to meet selection criteria at the highest level are invited to develop full applications. Each program announcement provides the dates for preliminary application submission. The standard application forms as furnished by the Federal agency, in accordance with 28 CFR Part 66 (Common Rule) or OMB Circular No. A-110, must be

used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs", and applies except for grants which are national in scope. Program announcements will provide instructions regarding the necessity of submission to single State agencies. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed in applying for assistance, if the State has selected the program for review.

Application Procedure: The applicant submits an original and 2 copies of proposals on Standard Form 424 in response to specific guidelines published by OJJDP. Applicants are expected to address each concern or requirement in the guidelines as clearly and specifically as possible, giving particular attention to goal and objective statements, methodology and data requirements. A peer review group is established as mandated in Section 262(d)(1)(A) of JJDP Act and applications are rated and ranked in relation to pre-defined selection criteria. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule.

Award Procedure: Assistance awards and contracts are awarded directly to applicants or may be awarded to State agencies established to administer the JJDP Act Formula Grant Program or a National Program Coordinator with a subgrant or contract to successful applicants for program administration and implementation. In either instance, both grantees and subgrantees are notified of a pending award.

Deadlines: Published in program announcements or requests for proposals.

Range of Approval/Disapproval Time: From 1 to 3 months.

Appeals: Informal reconsideration by Administrator for assistance applicants, administrative hearings for assistance award terminations. See C.F.R. Pat 18, 50 F.R. 28199, July 11, 1985.

Renewals: Continuation grant, supplemental award or contract modification.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements: Special Emphasis: Grants awarded under the Juvenile Justice and Delinquency Prevention Act do not require a cash match; except for construction projects, where the match is 50 percent on community based facilities of 20 beds or less. In 1991, Federal funds will be matched dollar-for-dollar.

Length and Time Phasing of Assistance: Initial Awards usually are made for 12-18 months and with further funding based upon the project period, grantee performance and availability of funds. Drawdowns are possible under a Letter of Credit. In 1991, assistance for a particular project limited to no more than 3 years.

POST ASSISTANCE REQUIREMENTS:

Reports: For Special Emphasis: Quarterly and final financial and progress reports are required.

Audits: In accordance with the provisions of OMB Circular No. A-128, "Audits of State and Local Governments," State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with Circular No. A-128, or in accordance with Federal laws and regulations governing the programs in which they participate. Nonprofit organizations are subject to the audit provisions set forth in OMB Circular No. A-133.

Records: Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for three years after the date of the final report.

FINANCIAL INFORMATION:

Account Identification: 15-0401-0-1-754.

Obligations: (Grants) Special Emphasis: FY 90 \$9,428,177; FY 91 est \$10,180,897; and FY 92 est \$4,850,000. Technical Assistance: FY 90 \$35,037; FY 91 est \$22,519; and FY 92 est \$0.

Range and Average of Financial Assistance: Not available.

PROGRAM ACCOMPLISHMENTS: In fiscal year 1990, Special Emphasis continuation awards were made to the following: A school based program designed to coordinate social services and educa-

tional resources to combat truancy and dropouts; the National Center for Prosecution of Child Abuse; a program to provide technical assistance to community-based agencies; a program to strengthen Hispanic Families; a program to establish Boys and Girls Clubs in Public Housing; the juvenile arson program; a program to train students to prevent drug abuse; a program to identify promising drug prevention, intervention and treatment programs; and a program to improve the quality of juvenile correctional services.

REGULATIONS, GUIDELINES, AND LITERATURE: Special emphasis program guidelines are published in the Federal Register and awards are governed by Financial Guide M7100.1 which is available upon request. Reports and studies developed through the OJJDP National Institute (NIJDP) are available and can be secured by contacting OJJDP in Washington, DC.

INFORMATION CONTACTS:

Regional or Local Office: None.

Headquarters Office: Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, Washington, DC 20531. Telephone: (202) 307-5914.

RELATED PROGRAMS: 16.540, Juvenile Justice and Delinquency Prevention—Allocation to States; 16.542, National Institute for Juvenile Justice and Delinquency Prevention.

EXAMPLES OF FUNDED PROJECTS: Special emphasis grants have been awarded for law related education, a school-based student initiated drug prevention program, family strengthening, intensive supervision programs for serious offenders, juvenile arson programs, and drug and alcohol abuse prevention and treatment programs.

CRITERIA FOR SELECTING PROPOSALS: Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of the individual program announcements. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy 28 CFR Part 34.

16.542 NATIONAL INSTITUTE FOR JUVENILE JUSTICE AND DELINQUENCY PREVENTION

FEDERAL AGENCY: OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

AUTHORIZATION: Juvenile Justice and Delinquency Prevention Act of 1974, Section 241-248, as amended; Public Laws 93-415, 94-503, 95-115, 96-509, and 98-473, 42 U.S.C. 5601, et seq.

OBJECTIVES: To encourage, coordinate, and conduct research and evaluation of juvenile justice and delinquency prevention activities; to provide for public and private agencies, institutions, justice system agencies, a clearinghouse and information center for collecting, disseminating, publishing, and distributing information on juvenile delinquency; to conduct national training programs of juvenile related issues, and provide technical assistance and training assistance to Federal, State, and local governments, courts, public and private agencies, institutions, and individuals, in the planning, establishment, funding, operation, or evaluation of juvenile delinquency programs.

TYPES OF ASSISTANCE: Project Grants (Cooperative Agreements or Contracts).

USES AND USE RESTRICTIONS: It is the purpose of the Institute to provide a coordinating center for the collection, preparation and dissemination of useful data regarding the prevention, treatment and control of juvenile delinquency and child exploitation; to provide training for professionals, paraprofessionals, volunteers, law enforcement personnel where activities relate to juvenile delinquency programs; and to support development of standards for the administration of juvenile justice. The funds are also used to conduct research, program development and evaluation into any aspect of juvenile delinquency, and to strengthen and maintain the

family unit; programs for the development of drug testing guidelines and procedures for the juvenile justice system to better address the needs of juveniles held in detention; for the improvement of our understanding of the development of pro-social and anti-social behavior patterns; for the study of how juveniles who are Alaskan Natives and American Indians are the number and characteristics of the juveniles taken into custody; for the collection, processing and reporting of data from the Nations's juvenile courts; and to carry out programs of research and evaluation on the extent and causes of juvenile crime and child exploitation and the means of prevention.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility: Public or private agencies, organizations, or individuals.

Beneficiary Eligibility: Public or private agencies, organizations, or individuals.

Credentials/Documentation: Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination: Concept paper serves as a preliminary application for some projects (as specified in Program Announcement). Standard application forms, in accordance with 28 CFR Part 66 (Common Rule), as required by OMB Circular No. A-102 must be used for this program. This program is excluded from coverage under E.O. 12372.

Application Procedure: Applicant submits proposal on Standard Form 424. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule. Proposals must be prepared and submitted in accordance with program announcements published in the Federal Register.

Award Procedure: Award package is sent to grantee.

Deadlines: As scheduled in annual program plan or as set forth in program announcements.

Range of Approval/Disapproval Time: From 1 to 6 months.

Appeals: 28 CFR Part 18.

Renewals: Supplemental grants.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements: No match required.

Length and Time Phasing of Assistance: Varies; generally 1 to 3 years. Drawdowns may be made.

POST ASSISTANCE REQUIREMENTS:

Reports: Financial and subgrant data reported on a monthly, quarterly, and annual basis, as required by the OJP Financial Guide (M7100.1) applicable edition.

Audits: Full fiscal and program audit annually of at least 15 percent of projects; other onsite inspections as needed throughout the year. Also by special request. In accordance with the provisions of OMB Circular No. A-128, "Audits of State and Local Governments," State and local governments that receive \$100,000 or more a year in Federal financial Assistance shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 a year shall have an audit made in accordance with Circular No. A-128, or in accordance with Federal laws and regulations governing the programs in which they participate. Nonprofit organizations are subject to the audit provisions set forth in OMB Circular No. A-133.

Records: Grantee must keep complete records on disposition of funds.

FINANCIAL INFORMATION:

Account Identification: 15-0401-0-1-754.

Obligations: (Grants) FY 90 \$10,094,507; FY 91 est \$11,294,241; and FY 92 est \$2,400,000.

Range and Average of Financial Assistance: In amounts consistent with the Institute's plans, priorities, and levels of financing.

PROGRAM ACCOMPLISHMENTS: During fiscal year 1990, National Institute for Juvenile Justice and Delinquency Prevention funded grants that supported a wide variety of activities. Training has been provided to over 3,357,244 individuals, including: lawyers, judges, law enforcement executives; juvenile court, detention, and correctional administrators; probation officers; teachers; students; and, practitioners. These training programs dealt with a

range of juvenile justice topics, including juvenile restitution programming, model juvenile detention operations, law enforcement and juvenile and family court handling of serious juvenile offenders as well as abused and neglected children in need of permanent placements. Programs to help reduce drugs and crime in schools have been implemented nationwide. Significant accomplishments of the research program include reports and bulletins in the following areas: Missing, Abducted, Runaway, and Thrownaway Children, in America: First Report on Numbers and Characteristics National Incidence Studies 1990; National Juvenile Court Statistics, and published results of the 1988-89 Census of Children in Custody in Public and Private Juvenile Custody Facilities; Growth in Minority Detention Attributed to Drug Law Violators; Runaways in Juvenile Court; and Juvenile Court Property Cases.

REGULATIONS, GUIDELINES, AND LITERATURE: The office of Justice Programs (OJP) Financial and Administrative Guide for Grants, M7100.1.

INFORMATION CONTACTS:

Regional or Local Office: None.

Headquarters Office: Department of Justice, Office of Juvenile Justice and Delinquency Prevention, National Institute for Juvenile Justice and Delinquency Prevention, Washington, DC 20531. Telephone: (202) 307-5929, Irving Slott. (202) 307-5940, Emily Martin.

RELATED PROGRAMS: 16.540, Juvenile Justice and Delinquency Prevention—Allocation to States; 16.541, Juvenile Justice and Delinquency Prevention—Special Emphasis; 16.560, Justice Research and Development Project Grants.

EXAMPLES OF FUNDED PROJECTS: Projects funded during fiscal year 1990, include programs addressing American Indian an Alaskan Native Justice Systems; juvenile justice statistics and systems development; drug testing guidelines and drug identification, DSOII: Assessing the Effects of Deinstitutionalization of Status Offenders; Victims and Witnesses in the Juvenile Justice System; longitudinal research on the causes and correlates of delinquency; children in custody, Census; Study to Evaluate Conditions in Juvenile Detention and Correctional Facilities.

CRITERIA FOR SELECTING PROPOSALS: Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are incorporated in the individual program announcements. Applications undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy, 28 CFR Part 34.

16.543 MISSING CHILDREN'S ASSISTANCE

FEDERAL AGENCY: OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, DEPARTMENT OF JUSTICE

AUTHORIZATION: Juvenile Justice and Delinquency Prevention Act of 1974, Title IV, Public Law 93-415, as amended.

OBJECTIVES: To ensure that there is effective coordination among all federally funded programs related to missing children. Establish and maintain a national resource center and clearinghouse to: (1) provide technical assistance to local and State governments, public and private nonprofit agencies and individuals in locating and recovering missing children; (2) coordinate public and private programs to locate and recover missing children; (3) disseminate nationally, information on innovative missing childrens' programs, services, and legislation; and (4) provide technical assistance to law enforcement agencies, private nonprofit agencies, and individuals in the prevention, investigation, prosecution and treatment of the missing or exploited child case. Periodically conduct national incidence studies to determine the actual number of children reported missing each year, the number of children who are victims of stranger abductions, the number of children who are victims of parental kidnappings, and the number of missing children who are recovered each year. Compile, analyze, publish and disseminate an

annual summary of research currently being conducted on missing children, which will include an annual comprehensive plan for assuring cooperation and coordination among all agencies and organizations with responsibilities related to missing children. Provide a program to establish and maintain a national 24-hour toll-free telephone line where individuals may report information regarding the location of missing children.

TYPES OF ASSISTANCE: Project Grants (Cooperative Agreements).

USES AND USE RESTRICTIONS: The Administrator is authorized to make grants to and enter into contracts with public agencies or private nonprofit organizations, or combinations thereof, for research, demonstration projects, or service programs designed (1) to educate parents, children, and community agencies and organizations in ways to prevent the abductions and sexual exploitation of children; (2) to provide information to assist in the locating and return of missing children; (3) to aid communities in the collection of materials which would be useful to parents in assisting others in the identification of missing children; (4) to increase knowledge of and develop effective treatment pertaining to the psychological consequences, on both parents and children, of (a) the abduction of a child, both during the period of disappearance and after the child is recovered; and (b) the sexual exploitation of a missing child; (5) to collect detailed data from selected States or localities on the actual investigative practices utilized by law enforcement agencies in missing children's cases; (6) to address the particular needs of missing children by minimizing the negative impact of judicial and law enforcement procedures on children who are victims of abuse or sexual exploitation and by promoting the active participation of children and their families in cases involving abuse or sexual exploitation of children; (7) to address the needs of missing children and their families following the recovery of such children; and (8) reduce the likelihood that children under 18 years will be removed from the control of their legal custodians without such custodians' consent; and to establish statewide clearinghouses to assist in recovering or locating missing children.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility: Missing Children's funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public and private nonprofit agencies, organizations, individuals, State and local units of government, combinations of State or local units.

Beneficiary Eligibility: State and local units of government, private nonprofit agencies, organizations, institutions or individuals.

Credentials/Documentation: Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments and A-122 for nonprofit organizations.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination: In carrying out the programs authorized by the Missing Children's Assistance Act, the OJJDP Administrator establishes annual research, demonstration, and service program priorities for grants and contracts and the criteria based on merit for making such grants and contracts. The proposed priorities and selection criteria are published in the Federal Register for public comment for a period of 60 days prior to final adoption. Grants and contracts exceeding \$50,000 must be made by competitive process. This program is excluded from coverage under E.O. 12372.

Application Procedure: Applicant submits proposal on Standard Form 424. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule. Proposals must be prepared and submitted in accordance with program announcements published in the Federal Register.

Award Procedure: Award package is sent to grantee.

Deadlines: Published in program announcements or requests for proposals.

Range of Approval/Disapproval Time: From 1 to 3 months.

Appeals: See 28 C.F.R. Part 18.

Renewals: Supplemental grants or contract modification.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements: No match required.

Length and Time Phasing of Assistance: Initial awards usually are made for 12 to 36 months with further funding based upon the project period and grantee performance. Drawdowns are possible under a Letter of Credit.

POST ASSISTANCE REQUIREMENTS:

Reports: Quarterly and final financial and progress reports are required.

Audits: Full fiscal and program audits will be done before or after close of grants. On-site inspections will be made throughout the grant. Nonprofit organizations are subject to the audit provisions set forth in OMB Circular No. A-133. In accordance with the provisions of OMB Circular No. A-128, "Audits of State and Local Governments," State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with Circular No. A-128, or in accordance with Federal laws and regulations governing the programs in which they participate.

Records: Grantee must keep complete records on the disposition of funds.

FINANCIAL INFORMATION:

Account Identification: 15-0401-0-1-754.

Obligations: (Grants) FY 90 \$4,401,006; FY 91 est \$8,293,274; and FY 92 est \$7,971,000.

Range and Average of Financial Assistance: Not applicable.

PROGRAM ACCOMPLISHMENTS: Continuance awards in 1990 included: Reunification of Missing Children Study; Psychological Consequences Study; Studies of the Incidences of Missing Children; and training for nonprofit organizations serving missing children. A new award was made: Obstacles to Recovery and Return of Parentally Abducted Children.

REGULATIONS, GUIDELINES, AND LITERATURE: Missing Children program priorities are published in the Federal Register and awards are governed by Financial Guide M. 7100.1 which is available upon request.

INFORMATION CONTACTS:

Regional or Local Office: None.

Headquarters Office: Office of Juvenile Justice and Delinquency Prevention, Department of Justice, Washington, DC 20531. Telephone: (202) 307-0598.

RELATED PROGRAMS: 16.542, National Institute for Juvenile Justice and Delinquency Prevention.

EXAMPLES OF FUNDED PROJECTS: Projects funded during fiscal year 1990 include technical assistance, training and associated services concerning missing and exploited children, the National Study of the Incidences of Missing Children, and research related to the psychological consequences to families with missing and exploited children.

CRITERIA FOR SELECTING PROPOSALS: Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Prevention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded.

16.544 PART D—JUVENILE GANGS AND DRUG ABUSE AND DRUG TRAFFICKING

FEDERAL AGENCY: OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION, OFFICE OF JUSTICE PROGRAMS, DEPARTMENT OF JUSTICE

AUTHORIZATION: Juvenile Justice and Delinquency Prevention Act of 1974, Sections 281 and 282, Public Law 93-415, as amended.

OBJECTIVES: To establish and support programs and activities that involve families and communities that are designed to: (1) reduce the participation of juveniles in drug-related crimes, particularly in elementary and secondary schools; (2) develop within the juvenile adjudicatory and correctional systems new and innovative means to address the problems of juveniles convicted of serious drug-related and gang-related offenses; (3) reduce juvenile involvement in gang-related activity, particularly activities that involve the distri-

bution of drugs by or to juveniles; (4) promote the involvement of juveniles in lawful activities in geographical areas in which gangs commit crimes; (5) provide treatment to juveniles who are members of such gangs, including members who are accused of committing a serious crime and members who have been adjudicated as being delinquent; (6) support activities to inform juveniles of the availability of treatment and services for which financial assistance is provided under this program; (7) facilitate Federal and State cooperation with local school officials to assist juveniles who are likely to participate in the activities of gangs that commit crimes and to establish and support programs that facilitate coordination and cooperation among local education, juvenile justice, employment and social services agencies, for the purpose of preventing or reducing the participation of juveniles in activities of gangs that commit crimes; (8) provide personnel, personnel training, equipment and supplies in conjunction with programs and activities designed to prevent or reduce the participation of juveniles in unlawful gang activities or unlawful drug activities, to assist in improving the adjudicative and correctional components of the juvenile justice system; (9) provide pre- and post-trial drug abuse treatment to juveniles in the juvenile justice system; and (10) provide abuse education, prevention and treatment involving police and juvenile officials in demand reduction programs.

TYPES OF ASSISTANCE: Project Grants (Cooperative Agreements or Contracts).

USES AND USE RESTRICTIONS: To be eligible for an award or contract, an applicant must: (1) respond to legislative requirements contained in Section 281 and 282 of the JJDP Act, as amended as well as specific program guidelines issued by the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (2) be consistent with the objectives and priorities of OJJDP; (3) provide for proper program administration, evaluation and fiscal reporting; (4) demonstrate, in the overall quality of the proposal, that the program is technically sound and will achieve the required program objectives at the highest possible level; and (5) respond to clear and documentable needs.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility: Part D funds are available under the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, to public or private nonprofit agencies, organizations or individuals.

Beneficiary Eligibility: Public or private nonprofit agencies, organizations or individuals.

Credentials/Documentation: Costs will be determined in accordance with OMB Circular Nos. A-87 for State and local governments, A-21 for educational institutions, and A-122 for nonprofit organizations.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination: In some program initiatives, applicants are invited to submit preliminary applications or concept papers in response to program announcements issued by OJJDP. The original and one copy are sent to the OJJDP in Washington, DC, and where applicable one copy is sent to the Criminal Justice Council; or the original and two copies are sent to the OJJDP if the proposed program extends beyond State boundaries. Preliminary applications are not to exceed 15 pages, but may have supporting information in appendices. Preliminary applications are judged on program requirements according to pre-defined selection criteria. Those applicants judged to meet selection criteria at the highest level are invited to develop full applications. Each program announcement provides the dates for preliminary application submission. The standard application forms as furnished by the Federal agency, in accordance with 28 C.F.R., Part 66 (Common Rule) or OMB Circular No. A-110 must be used for this program. This program is eligible for coverage under E.O. 12372, "Intergovernmental Review of Federal Programs", and applies except for grants which are national in scope. Program announcements will provide instructions regarding the necessity of submission to single State agencies. An applicant should consult the office or official designated as the single point of contact in his or her State for more information on the process the State requires to be followed

in applying for assistance, if the State has selected the program for review.

Application Procedure: Applicant submits proposal on Standard Form 424. This program is subject to the provisions of OMB Circular No. A-110 and the Common Rule. Proposals must be prepared and submitted in accordance with program announcements published in the Federal Register.

Award Procedure: Award package is sent to grantee.

Deadlines: Published in program announcements or requests for proposals.

Range of Approval/Disapproval Time: From 1 to 3 months.

Appeals: See 28 C.F.R. Part 18.

Renewals: Supplemental grants or contract modification.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements: No match required.

Length and Time Phasing of Assistance: Initial awards usually are made for 12 to 18 months with further funding based upon the project period and grantee performance. Drawdowns are possible under a Letter of Credit.

POST ASSISTANCE REQUIREMENTS:

Reports: Quarterly and final financial and progress reports are required.

Audits: In accordance with the provisions of OMB Circular No. A-128, "Audits of State and Local Government," State and local governments that receive financial assistance of \$100,000 or more within the State's fiscal year shall have an audit made for that year. State and local governments that receive between \$25,000 and \$100,000 within the State's fiscal year shall have an audit made in accordance with Circular No. A-128, or in accordance with Federal laws and regulations governing the programs in which they participate. Nonprofit organization are subject to the audit provisions set forth in OMB Circular No. A-133.

Records: Grantee must keep complete records on the disposition of funds, and records related to the grant must be retained for 3 years after the date of the final report.

FINANCIAL INFORMATION:

Account Identification: 15-0401-0-1-754.

Obligations: (Grants) FY 90 \$1,890,777; FY 91 est \$3,594,223; and FY 92 est \$0.

Range and Average of Financial Assistance: Not available.

PROGRAM ACCOMPLISHMENTS: During fiscal year 1990, Office of Juvenile Justice and Delinquency Prevention funded grants that supported a wide variety of activities. These activities included the establishment of the Boys and Girls Clubs in public housing in San Francisco, CA; Danville, IL; Boston, MA; Montgomery, AL; Nashville, TN; Columbia, SC; and Dover, DE. A gang prevention and intervention component was added to the Targeted Outreach grant to the Boys and Girls Clubs of America and thirty clubs are involved in gang prevention, three are involved in gang intervention, and eight are involved in working with the Department of Health and Human Services Consortium Program. It is expected that 1,950 youth will be deterred from gang involvement through this program. Through the National Youth Gang Suppression and Intervention Program we have learned that the problem of gangs is becoming complex. Old means of identifying gang members are growing obsolete as members become more involved in drug trafficking. Gangs are not only found in large metropolitan areas, but are now emerging in small, rural areas. This project has developed a general community model, models for corrections, judicial, parole, police, probation, prosecutor, school, community, and grass-roots agencies. A new program is being developed to prevent youth from dropping out of school and joining gangs. Sixty youth will be able to complete their high school education, receive job training and jobs. Supportive services will also be available for them and their families.

REGULATIONS, GUIDELINES, AND LITERATURE: The office of Justice Programs (OJP) Financial and Administrative Guide for Grants, M.7100.1.

INFORMATION CONTACTS:

Regional or Local Office: None.

Headquarters Office: Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, Department of Justice, Washington, DC 20531. Telephone: (202) 307-0751.

RELATED PROGRAMS: 16.540, Juvenile Justice and Delinquency Prevention—Allocation to States; 16.541, Juvenile Justice and Delinquency Prevention—Special Emphasis; and 16.542, National Institute for Juvenile Justice and Delinquency Prevention.

EXAMPLES OF FUNDED PROJECTS: Projects funded during fiscal year 1990, include programs to prevent high school students from dropping out of school and joining gangs; a program aimed at reducing teen victimization; and to provide training and technical assistance to key policy makers, leading to improved public and private gang and drug prevention, intervention and suppression strategies.

CRITERIA FOR SELECTING PROPOSALS: Applications are judged according to their consistency with the policies and program priorities established by the Juvenile Justice and Delinquency Pre-

vention Act. Specific criteria are applied that are related to the particular program areas under which projects are funded. The criteria are published in the Federal Register as part of the individual program announcements. Applications may undergo a competitive peer review process as outlined in the OJJDP Competition and Peer Review Policy 28 C.F.R. Part 34.

Appendix F.
Extra Blank Forms
(Tear out forms for your own use)

APPLICATION FOR FEDERAL ASSISTANCE

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

5. APPLICANT INFORMATION

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

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

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8. TYPE OF APPLICATION:

New Continuation Revision

If Revision, enter appropriate letter(s) in box(es):

A Increase Award B Decrease Award C Increase Duration
 D Decrease Duration Other (specify): _____

7. TYPE OF APPLICANT: (enter appropriate letter in box)

A. State	H. Independent School Dist.
B. County	I. State Controlled Institution of Higher Learning
C. Municipal	J. Private University
D. Township	K. Indian Tribes
E. Interstate	L. Individual
F. Intermunicipal	M. Profit Organization
G. Special District	N. Other (Specify): _____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

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TITLE: _____

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:

a. Federal	\$								
b. Applicant	\$								
c. State	\$								
d. Local	\$								
e. Other	\$								
f. Program Income	\$								
g. TOTAL	\$								

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE _____

b. NO PROGRAM IS NOT COVERED BY E.O. 12372

OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

Yes If "Yes," attach an explanation. No

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

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

INSTRUCTIONS FOR THE SF 424

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) & 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:
— "New" means a new assistance award.
— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
— "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 INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B — BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTALS (sum of lines 16 -19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks					

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

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 them 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.

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, 633 Indiana Avenue, NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 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 U.S.C. 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 gives 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 on 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 has 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 non-discrimination requirements of the Justice Assistance Act or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973 as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G.
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 or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights Compliance (OCRC) of the 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.



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 sub-recipients shall certify and disclose accordingly.

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

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.610--

- A. The applicant certifies that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

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

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

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

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

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

- A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an on-going drug-free awareness program to inform employees about--
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

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

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

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

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

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

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

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

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

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

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

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

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

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

U.S. Department of Justice

Office of Justice Programs

Office of Juvenile Justice and Delinquency Prevention

Washington, D.C. 20531

Official Business

Penalty for Private Use \$300

FIRST CLASS MAIL
POSTAGE & FEES PAID
DOJ/OJJDP
Permit No. G-91

NCJ # 137219