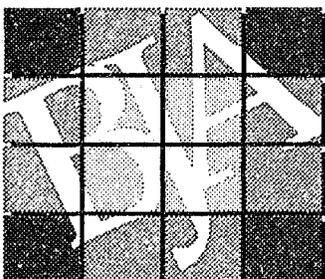


141354

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance



Bureau of Justice Assistance

Community-Oriented Policing Program

141354

U.S. Department of Justice
National Institute of Justice

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U.S. Department of Justice

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**FY 1993 DISCRETIONARY
PROGRAM APPLICATION KIT**

Application and Administrative Requirements

Application Requirements

All applicants must submit a completed Application for Federal Assistance (Standard Form 424), including a program narrative, a detailed budget, and budget narrative. A copy of the form is provided in Appendix B of this application kit.

In submitting applications which involve the cooperative efforts of more than one organization, the relationships among the parties must be set forth in the application. As a general rule, organizations that describe their working relationship in the development of products and the delivery of services as primarily cooperative or collaborative in nature will be considered co-applicants. In the event of a co-applicant submission, one organization must be designated as the payee to receive and disburse project funds and be responsible for the supervision and coordination of the activities of the other co-applicants. Under this arrangement, each organization would agree to be jointly and severally responsible for all project funds and services. Each co-applicant must sign the SF-424 and indicate its acceptance of the conditions of joint and several responsibility with the other co-applicants.

Applications that include noncompetitive contracts for the provision of specific services must contain a sole source justification for any procurement in excess of \$10,000.

Non-profit or for-profit applicants who have not previously received Federal funds are asked to submit a copy of the Office of Justice Programs Accounting System and Financial Capability Questionnaire (OJP Form 7120/1). A copy of the form is provided in Appendix B of this application kit and must be prepared and submitted along with the application. Other applicants may be requested to submit this form.

An original and two copies of the application are required. Applications should be sent to the following address:

**Bureau of Justice Assistance
Central Control Desk, Room 1042 D
633 Indiana Avenue, N.W.
Washington, D.C. 20531**

Applications must be postmarked by the due date indicated in the individual announcement for which the application is being submitted.

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of their application to the State Single Point of Contact, if one exists, and if the program has been selected for review by the State.

An additional copy of the application must also be submitted to the State Office which administers the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program for the State. A list of the State Offices is found in Appendix A. An applicant is required to notify BJA immediately if the same or a similar application as the one submitted to BJA is funded through the State Formula Grant Program or by another Federal agency or other fund source, in whole or part. Applicants for national scope programs are not required to submit copies of their application to all the States which might participate in the program.

Application Content and Review Criteria

In completing Standard Form 424, all of the following selection criteria must be addressed:

Organizational Experience: Applicants must concisely describe their organizational experience and explain how their capabilities enable them to achieve the goals and objectives of the program. This explanation also should include the applicant's *financial capability*; i.e., the fiscal controls and accounting procedures which assure that Federal funds will be accounted for properly. Where appropriate, applicants must demonstrate their capability to obtain the cooperation and/or resources of State and local governmental entities to implement the program.

Soundness of Proposed Strategy: There are three elements that must be addressed in formulating a sound strategy which is responsive to each stage that is outlined in the program announcement.

- A succinct statement of the applicant's understanding of the *goals and objectives* of the program, including a discussion of the potential contribution of this program to the field.
- The proposed *program strategy* for achieving these goals and objectives.
- The proposed approach to *evaluating* the program products and activities of the program.

Clarity and Appropriateness of the Program Implementation Plan: Applicants must prepare a plan that outlines the major activities involved in implementing the program and describes how available resources will be allocated. The plan must include an annotated organizational chart depicting the roles and responsibilities of key organizational and functional components and a list of key personnel responsible for managing and implementing the major elements of the program. There must be a *time-task* plan which clearly identifies the major milestones and products, organizational responsibility, and a schedule for the completion of activities and products. Finally, the applicant must concisely describe the interim and final *products* of the program, and address the purpose, audience, and usefulness to the field for each product.

Program Budget: The applicant must provide a budget with a detailed justification for all costs, including the basis for computation of these costs. In the case of co-applicants, detailed budgets

for each organization's expenses must be submitted. The program budget must be complete, reasonable, and cost-effective in relation to the proposed program.

Qualifications of the Program Staff: The applicant must fully describe the capabilities and work experience of all key staff members. The relationship of prior work experience to the requirements of the program being undertaken must be clearly demonstrated.

Selection Criteria: The number of grading points assigned to each of the selection criteria will vary from program to program, depending upon its relative importance in achieving that program's purpose. Applicants will find this point distribution in the *selection criteria* section of each program description contained in this publication.

Review Process

Applications submitted in response to a competitive announcement may be reviewed by a panel of experts, which will make recommendations to the Director of BJA for funding. The panel will assign numerical values to each competing application based on the point distribution in the *selection criteria* of each program description in this publication. For demonstration programs geographic location and demographic characteristics of the proposed site will also be considered in selecting applications for award. The final award decision will be made by the BJA Director. BJA will then negotiate specific terms of the awards with the selected applicants. At the conclusion of the award process letters will be sent to all applicants notifying them if their proposal has been selected or the reasons it was not selected.

Evaluation

Each funded program must contain an evaluation component as required by Section 501(c) of the Anti-Drug Abuse Act of 1988, 42 U.S.C. 3751(c). The applicant should refer to the guidelines established by the National Institute of Justice (NIJ) in consultation with BJA for the evaluation of programs funded under the Discretionary Grant Program entitled *Evaluating Drug Control and System Improvement Projects: Guidelines for Projects Supported by the Bureau of Justice Assistance*. Copies of the *Guidelines* are available from the National Criminal Justice Reference Service at 1-800-851-3420 or the BJA Clearinghouse at 1-800-688-4252.

The purpose of evaluating each program is to assess how well it has been implemented and the extent to which the activities funded have achieved the program's goals and objectives. The evaluation results should provide guidance to administrators and policymakers in making resource allocation decisions.

In addition, many funded projects will be considered for participation in program level evaluations conducted by BJA and NIJ.

Each funded program or project will be required to submit formal results from an evaluation within 60 days of the completion of each year's activities and within 90 days of project completion. Each application must include a plan for evaluation.

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 (OJP)*, Guideline Manual M7100. This guideline manual includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. Copies of the Guideline Manual are available from OJP, Office of the Comptroller, 633 Indiana Avenue, N.W., Washington, DC 20531.

Civil Rights Requirements

Prohibition of Discrimination for Recipients of Federal Funds. No person in any State shall on the ground of race, color, religion, national origin, sex, or disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity receiving Federal financial assistance, pursuant to the following statutes and regulations: Section 809(c), Omnibus Crime Control and Safe Street Act of 1986, as amended, 42 U.S.C. 3789d, and Department of Justice Nondiscrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990) and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39; Title IX of the Education Amendments of 1972; and the Age Discrimination Act of 1975.

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, sex, or disability 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.

Audit Requirement

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

Institutions of higher education, hospitals, and other nonprofit organizations are responsible for providing an audit of their activities not less than every 2 years in accordance with OMB Circular

A-133. The required audits are to be on an organization-wide basis rather than on a grant-by-grant basis.

Disclosure of Federal Participation

Section 623 of Public Law 102-141 requires that, for awards of \$500,000 or more, "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."

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 (3-91) to determine the certification to which they are required to attest. A copy of the form is provided in Appendix B 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 will be treated as a material representation of fact upon which reliance will be placed by the Department of Justice in awarding grants.

Suspension or Termination of Funding

BJA may suspend, in whole or in part, or terminate funding for a grantee for the following reasons:

- Failure to conform to the requirements or statutory objectives of the Act; or
- Failure to comply substantially with the Act, regulations promulgated thereunder, or with the terms and conditions of its grant award.

Prior to suspension of a grant, BJA 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 Department of Justice regulations in 28 CFR Part 18.

Community-Oriented Policing Program

PURPOSE: The purpose of this program is to design, demonstrate and assess a "comprehensive, department-wide community policing prototype" in selected law enforcement agencies and communities.

BACKGROUND: Community oriented policing is emerging as an important change in the philosophy, management style and organizational strategy of American policing. Many departments around the country have embraced community policing in order to better serve the needs of its citizens and communities; to address the underlying causes of crime and fear of crime; and to improve quality of life. Under the community policing concept, the emphasis is on police effectiveness and community involvement. The philosophy of community policing redefines the roles of and relationships between the police and the community to one which fosters interdependence and shared responsibility. However, there is no coherent consensus in the police profession as to its definition, or its key elements.

Thus the Bureau of Justice Assistance (BJA) has initiated this project to develop, implement and assess a comprehensive community policing prototype. We intend to achieve a clearer understanding of the elements of community policing and the processes that are involved in its implementation. Differences in strategies used to implement the prototype are expected to occur between demonstration sites. The prototype will be intentionally flexible to allow for local needs and circumstances. Rather than serving as a "cookbook" to community policing, the prototype will provide framework for any department that wishes to implement this philosophy of policing department-wide.

To assist in the development of the prototype, a Community Policing Consortium has been established. The consortium consists of the International Association of Chiefs of Police (IACP), the Police Executive Research Forum (PERF), the Police Foundation, and the National Sheriff's Association. The consortium is assessing the state-of-the-art of community policing as implemented in local law enforcement agencies and will use this as a basis for developing the prototype. In addition, the consortium will serve as the technical assistance team for the demonstration project, working very closely with the demonstration sites selected to participate in the program. The consortium will be guided by an advisory group representing law enforcement, community organizations and others that have direct knowledge of and experience in the implementation aspect of community policing.

GOALS: The goals of the demonstration program are:

- To develop and demonstrate a community policing prototype;
- To determine and assess the key elements of community policing;
- To develop a consensus about the definition of community policing;

-
- To determine the needs of the law enforcement community relating to community-oriented policing;
 - To enhance police-community interaction;
 - To provide ongoing information and support to the law enforcement community relating to community-oriented policing issues; and
 - To disseminate findings of the demonstration project to the police profession.

OBJECTIVES: The objectives of the demonstration program are:

- To identify key elements and strategies for implementation of community policing department-wide;
- To complete a comprehensive needs assessment for implementing community policing in selected jurisdictions. This involves an examination of the mission of the organization, functional roles and responsibilities, allocation of manpower, organizational structure, management style, and other issues related to organizational process;
- To develop effective working relationships with all aspects of the community and to use these relationships to develop and implement the program;
- To design management and information technologies to track community policing activities;
- To prepare a variety of reports relating to the experience and findings of this project for distribution to the larger law enforcement community; and
- To provide peer technical assistance to demonstration sites.

PROGRAM STRATEGY: Agencies interested in applying for this project must be willing to accept major program planning and implementation responsibilities. Also, given the experimental nature of this planned multiyear project, agencies must be willing to implement required management and operational changes as defined by the program. Interested agencies should address the following considerations in their grant applications:

1. Needs Assessment

The sites will work with consortium staff in performing a comprehensive needs assessment to identify those areas requiring change in order to ensure the successful implementation of the prototype.

2. Strategic Plan of Action

The sites must design and fully execute a strategic plan of action in support of the prototype implementation. They must be willing to make periodic modifications as requested during the entire project cycle. This plan must also include methods for ensuring continued support, both internal and external, of the prototype.

3. Organizational Commitments

At a minimum, the following commitments are necessary: (1) creation of a project core executive team to help coordinate planning and implementation; (2) creation of a local consortium involving police, government representatives, and community stakeholders; and (3) development and maintenance of a strong and meaningful partnership with the Community-Oriented Policing Consortium.

4. Quality Control and Accountability

The sites must be willing to accept rigid quality control and accountability standards during the course of this multiyear project. The goal of this project is to demonstrate and test a Community-Oriented Policing Prototype and to disperse the findings throughout the police profession. Maintaining the appropriate integrity of the prototype for this purpose is essential.

5. Expenditure of Grant Funds

The sites must agree to expend grant funds only for those substantive purposes which directly support the attainment of the project objectives. Following the needs assessment, a "strategic action plan" will be completed which will provide the rationale and basis for modifying future grant expenditures within each of the sites as necessary. BJA will utilize the expertise of the Community-Oriented Policing Consortium staff in making budget decisions based upon this needs assessment. For this application, it is vital that sites project grant expenditures based upon their needs at this time.

6. Key Program Elements

The demonstration sites will be fully obligated to implement those elements of the Community-Oriented Policing Prototype (developed by the Consortium), based upon the needs and characteristics of each site. Elements to be addressed in the application are described below.

- **Flexibility of Management Attitudes and Behaviors:** To ensure compatibility between established departmental management styles and practices and the requirements of this prototype.
- **Established Organizational Structure:** To ensure that the current organizational structure can facilitate the successful expansion of the service delivery capacity as embodied in community policing ideas and practices.
- **Expanded Role of Patrol Officers Supported by Improved Operational Integration:** To ensure the necessary expansion of the operational role of patrol

officers and to identify mechanisms for improving the integration of all operational units with the patrol force.

- **Awareness of Systems, Policies, and Practices Requiring Change:** To identify the level of change in internal police systems (i.e., performance evaluations, training, career development, managing calls for service) that will be required to support the management and operational goals of the prototype. Also, to ensure that existing organizational policies and practices are compatible with the prototype.
- **Supportive Role of Political Leadership:** To ensure the existing and sustained support of the local political leadership.
- **Partnership Role of the Community in Design and Implementation:** To precisely define the role of the community as partners in the design, implementation, and evaluation phases of the prototype.
- **Need to Establish Role of the Media:** To identify and describe desirable media coverage in all phases of this project.
- **Expansion of Measures of "Success":** To identify and test more qualitative measures of police performance beyond the traditional quantitative measures (i.e., number of arrests, response time, etc.).
- **Determination of Internal Change Requirements:** To develop and implement a strategic plan of action which will facilitate those changes in the organization necessary to support Community-Oriented Policing.
- **Development of Tactical Applications:** To determine how Community-Oriented Policing can be implemented at both the precinct, or district, and beat levels.

7. Other Organizational Issues

In addition to those criteria described above, applicants should describe why their agencies are suitable for the demonstration program and how they meet the requirements of the community-oriented policing demonstration prototype described in this solicitation document. The response to this request should include, but not be limited to, statements addressing the following:

- **The current situation as it relates to criminal activity and its impact on the community selected for the demonstration of the prototype;**
- **Demonstrated capabilities of the Department in implementing other programs, strategies, models, or prototypes;**
- **What the Department would expect to gain, in respect to achieving Department goals, by being selected as a demonstration site;**

- A brief description of the Department's mission statement and goals for the next five years;
- Description of any initiatives, mechanisms, and commitments that currently exist within the community, the political structure and the law enforcement agency to be enhanced, or more fully developed, to implement community-oriented policing strategies;
- A preliminary assessment of needs required to enable the Department to effectively implement the prototype;
- A preliminary budget assessment as to where the funds provided under this grant would be applied;
- A description of the assets and/or resources that the Department will apply in support of the prototype; and
- Provide a profile of the Department's organizational structure that will allow for the effective implementation, administration, and evaluation of the Community-Oriented Policing Prototype.

ELIGIBILITY CRITERIA: BJA is specifically looking for law enforcement agencies that are willing to experiment with organizational change and accept responsibility for major program planning and program implementation of a prototype. We are encouraging law enforcement agencies that are committed to (and in the process of) integrating community policing ideas and practices throughout their management and operations structure.

Applicants to be considered must be law enforcement agencies who serve jurisdictions with populations between 100,000 and 900,000. This initial restriction is due to BJA's experience and recommendations by the Consortium which strongly suggests that the type of learning which will result in a project such as this, requiring major strategic change in organizations, will occur more readily and realistically in agencies of this size. It is anticipated that an additional four sites will be added to the program as funding becomes available. Upon funding a second set of sites, both larger and smaller agencies will be considered for selection as demonstration sites.

SELECTION CRITERIA: All applications will be evaluated and rated based on the extent to which they meet the following weighted criteria:

Organizational Capability	20 points
Soundness of Proposed Strategy	30 points
Qualifications of Project Staff	20 points
Clarity and Appropriateness of Program Implementation Plan	20 points
Budget	10 points

The following factors will be considered in rating the applications on the above criteria:

- The extent to which the applicant demonstrates that it can obtain resource commitments from State and/or local public and private agencies to support the program;
- The extent to which the applicant demonstrates a commitment to the interagency coordination and cooperation essential to implementing a comprehensive program; and
- The level of detail relating to the issues addressed both in the Prototype Components and Application Requirements of this request, and also the extent to which the applicant has begun to implement a Community-Oriented Policing Strategy with the support necessary to ensure its success.

AWARD PERIOD: The initial award period will be for 12 months.

AWARD AMOUNT: The initial award amount is \$200,000 per site. Up to four sites will be selected for award this year. Depending upon funding availability and demonstrated success, an additional 2 years of funding is anticipated.

DUE DATE: Applications must be postmarked no later than June 28, 1993.

CONTACT: For further information, contact Richard Ward, Acting Director, BJA Discretionary Grants Program Division at (202) 514-5947.

Appendix A

BJA State Office Listing

State Offices Administering
The Edward Byrne Memorial State and Local Law Enforcement Assistance
Formula Grant Program

ALABAMA

Kater Williams
Division Chief
Alabama Department of Economic and
Community Affairs
Law Enforcement/Highway Traffic
Safety Division
401 Adams Avenue, P.O. Box 5690
Montgomery, Alabama 36103-5690

Contact: Douglas Miller
Phone: (205) 242-5891
Fax: (205) 242-5515

ALASKA

Colonel John Murphy
Director
Alaska State Troopers
5700 East Tudor Road
Anchorage, Alaska 99507

Contact: Catherine Katsel
Phone: (907) 269-5082
Fax: (907) 337-2059

ARIZONA

Rex M. Holgerson
Executive Director
Arizona Criminal Justice Commission
1501 West Washington
Phoenix, Arizona 85007

Contact: Joseph R. Farmer
Phone: (602) 542-1928
Fax: (602) 542-4852

ARKANSAS

Jerry Duran
Administrator
Office of Intergovernmental Services
Department of Finance and Administration
1515 Building, Suite 417
P.O. Box 3278
Little Rock, Arkansas 72203

Contact: Gordon Burton
Phone: (501) 682-1074
Fax: (501) 324-9070

CALIFORNIA

Ray Johnson
Executive Director
Office of Criminal Justice Planning
1130 K Street, Suite 300
Sacramento, California 95814

Contact: Judy O'Neal
Phone: (916) 323-5350
Fax: (916) 324-9167

COLORADO

Bill Woodward
Director
Division of Criminal Justice
700 Kipling Street, 3rd Floor
Denver, Colorado 80215

Contact: John Inmann
Phone: (303) 239-4442
Fax: (303) 239-4491

CONNECTICUT

Susan Shimelman
Under Secretary
Office of Policy and Management
Policy Planning Division
80 Washington Street
Hartford, Connecticut 06106

Contact: Thomas A. Siconolfi
Phone: (203) 566-3500
Fax: (203) 566-1589

DELAWARE

Thomas J. Quinn
Executive Director
Criminal Justice Council
Carvel State Office Building
820 North French Street, 4th Floor
Wilmington, Delaware 19801

Contact: Tricia Peraino
Phone: (302) 577-3466
Fax: (302) 577-3440

DISTRICT OF COLUMBIA

David Temple
Executive Director
Office of Grants Management and Development
717 14th Street, N.W.
Suite 500
Washington, D.C. 20005

Contact: Patty Dobbs
Phone: (202) 727-6537
Fax: (202) 727-1617

FLORIDA

John A. Lenaerts
Chief, Bureau of Public Safety Management
The Rhyne Building
2740 Centerview Drive
Tallahassee, Florida 32399

Contact: Clayton Wilder
Phone: (904) 488-8016
Fax: (904) 487-4414

GEORGIA

Sidney R. Miles
Director
Criminal Justice Coordinating Council
503 Oak Place
Suite 540
Atlanta, Georgia 30349

Contact: Terry Norris
Phone: (404) 559-4949
Fax: (404) 559-4960

HAWAII

The Honorable Warren Price, III
Attorney General
State of Hawaii
425 Queen Street, Room 221
Honolulu, Hawaii 96813

Contact: Lari Koga
Resource Coordination Division
Phone: (808) 586-1151
Fax: (808) 586-1373

IDAHO

Richard L. Cade
Director
Idaho Department of Law Enforcement
6111 Clinton Street
Boise, Idaho 83704

Contact: Cheri Elms
Phone: (208) 327-7170
Fax: (208) 327-7176

IOWA

Mike Forrest
Coordinator
Governor's Alliance on Substance Abuse
Lucas State Office Building
Des Moines, Iowa 50309

Contact: Martha Crist
Phone: (515) 281-4518
Fax: (515) 242-6390

ILLINOIS

Dennis E. Nowicki
Executive Director
Illinois Criminal Justice Information Authority
120 South Riverside Plaza
Suite 1016
Chicago, Illinois 60606

Contact: Candice M. Kane
Phone: (312) 793-8550
Fax: (312) 793-8422

KANSAS

Susan M. Seltsam
Secretary of Administration
Department of Administration
State Capitol, Room 265-E
Topeka, Kansas 66612-1590

Contact: Brent Bengtson
Director
Office of Drug Abuse Programs
112 Landon Street Office Building
900 Jackson
Topeka, Kansas 66612-1214
Phone: (913) 296-2584
Fax: (913) 296-0043

INDIANA

Catherine O'Connor
Executive Director
Indiana Criminal Justice Institute
302 West Washington Street, Room E-209
Indianapolis, Indiana 46204

Contact: Doug Fowler
Phone: (317) 232-2561
Fax: (317) 232-4979

KENTUCKY

General Bill Wellman
Secretary
Justice Cabinet
Bush Building
403 Wapping Street, 2nd Floor
Frankfort, Kentucky 40601

Contact: Debra McGovern
Phone: (502) 564-7554
Fax: (502) 564-4840

LOUISIANA

Michael Ranatza
Executive Director
Louisiana Commission on Law Enforcement
1885 Wooddale Boulevard, Suite 708
Baton Rouge, Louisiana 70806

Contact: Judy Mouton
Phone: (504) 925-3513
Fax: (504) 925-1998

MASSACHUSETTS

Dennis A. Humphrey
Executive Director
Massachusetts Committee on Criminal Justice
100 Cambridge Street, Room 2100
Boston, Massachusetts 02202

Contact: Susan Foster
Phone: (617) 727-6300
Fax: (617) 727-5356

MAINE

John Atwood
Commissioner
Department of Public Safety
State House Station 42
Augusta, Maine 04333

Contact: David Giampetruzzi
Maine Justice Assistance Council
93 Silver Street
Waterville, Maine 04901
Phone: (207) 873-4687
Fax: (207) 877-0467

MICHIGAN

Robert E. Peterson
Director
Office of Drug Control Policy
Michigan National Tower
124 West Allegan, Suite 1200
P.O. Box 30026
Lansing, Michigan 48909

Contact: Ardith DaFoe
Phone: (517) 373-2952
Fax: (517) 373-2963

MARYLAND

Floyd O. Pond
Executive Director
Governor's Drug and Alcohol Abuse
Commission
300 East Joppa Road, Suite 1105
Towson, Maryland 21204

Contact: Greg Leyko
Phone: (410) 321-3521
Fax: (410) 321-3116

MINNESOTA

Alan J. Fredrickson
Director
Office of Drug Policy and Violence Prevention
Department of Public Safety
316 Transportation Building
John Ireland Boulevard
St. Paul, Minnesota 55155

Contact: Billy Collins
Phone: (612) 297-7311
Fax: (612) 297-5728 (SPA)
(612) 297-7313 (ODP)

MISSISSIPPI

Donald O'Cain
Director
Division of Public Safety Planning
Department of Public Safety
301 West Pearl Street
Jackson, Mississippi 39203

Contact: Herbert Terry
Phone: (601) 949-2225
Fax: (601) 960-4263

NEBRASKA

Jean A. Lovell
Executive Director
Nebraska Commission on Law Enforcement
and Criminal Justice
301 Centennial Mall South
P.O. Box 94946
Lincoln, Nebraska 68509

Contact: Nancy Steeves
Phone: (402) 471-3416
Fax: (402) 471-2837

MISSOURI

Richard C. Rice
Director
Missouri Department of Public Safety
Truman State Office Building
Room 870, P.O. Box 749
Jefferson City, Missouri 65102-0749

Contact: Kenneth Higgins
Phone: (314) 751-4905
Fax: (314) 634-2808

NEVADA

James P. Weller
Director
Department of Motor Vehicles and Public Safety
555 Wright Way
Carson City, Nevada 89711-0900

Contact: Mary Lynn Evans
Phone: (702) 687-4166
Fax: (702) 687-6798

MONTANA

Ed Hall
Administrator
Montana Board of Crime Control
303 North Roberts
Scott Hart Building
Helena, Montana 59620

Contact: Ed Hall
Phone: (406) 444-3604
Fax: (406) 444-4722

NEW HAMPSHIRE

Mark C. Thompson
Director of Administration
Office of the Attorney General
State House Annex
Concord, New Hampshire 03301-6397

Contact: Paul Doran
Phone: (603) 271-1297
Fax: (603) 271-2110

NEW JERSEY

Robert T. Winter
Director
Division of Criminal Justice
Department of Law and Public Safety
25 Market Street
CN 085
Trenton, New Jersey 08625-0085

Contact: Dennis O'Hara
Phone: (609) 984-6500
Fax: (609) 984-4496

NEW MEXICO

Richard C. deBaca
Secretary
Department of Public Safety
P.O. Box 1628
Santa Fe, New Mexico 87504

Contact: Jim Wilson
Phone: (505) 827-9099
Fax: (505) 827-3434

NEW YORK

Richard H. Girgenti
Director
New York State Division of Criminal Justice
Services
Executive Park Tower
Stuyvesant Plaza
Albany, New York 12203-3764

Contact: Gary Schreivogl
Phone: (518) 457-8462
Fax: (518) 457-3089

NORTH CAROLINA

Bruce Marshburn
Director
Governor's Crime Commission
P.O. Box 27687
Raleigh, North Carolina 27611

Contact: Dwight Jarvis
Phone: (919) 733-5013
Fax: (919) 733-7585

NORTH DAKOTA

William Broer, Jr.
Director
Bureau of Criminal Investigation
Attorney General's Office
3303 East Main
P.O. Box 1054
Bismarck, North Dakota 58502

Contact: Linda Llewellyn
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Appendix B

Application Forms

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 <u>only</u> 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

16. (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 may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or 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 Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB
0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. Initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
11. Amount of Payment (check all that apply): \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	13. Type of Payment (check all that apply): <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
12. Form of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Members(s) contacted, for Payment Indicated in item 11: (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No		
16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____



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