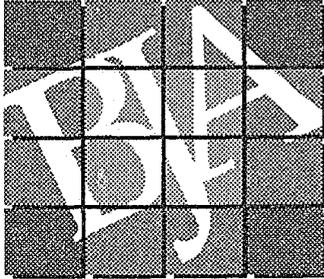


U.S. Department of Justice  
Office of Justice Programs  
Bureau of Justice Assistance

149079



Bureau of Justice Assistance

**Correctional  
Options Grant  
Program**

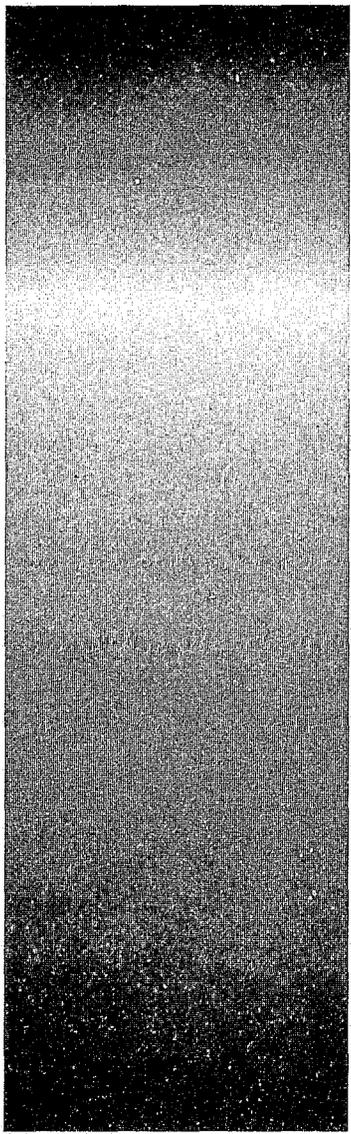
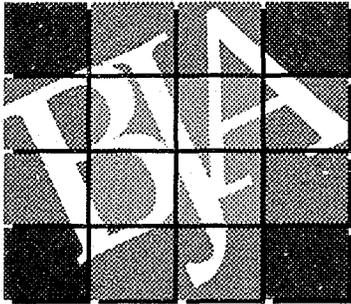
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FY 1994 DISCRETIONARY PROGRAM  
APPLICATION KIT

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149079



Bureau of Justice Assistance

# Correctional Options Grant Program

149079

U.S. Department of Justice  
National Institute of Justice

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U.S. Department of Justice

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## FY 1994 DISCRETIONARY PROGRAM APPLICATION KIT

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SL000088

**Bureau of Justice Assistance  
Response Center  
633 Indiana Avenue N.W., Washington, DC 20531  
1-800-421-6770**

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

# Correctional Options Grant Program

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## Introduction

This application kit supplements information concerning the Correctional Options Grant Program (COGP) as described in the *FY 1994 Discretionary Program Plan* released by the Bureau of Justice Assistance (BJA) in February 1994 (SL000082). This program is administered by BJA, a component of the Office of Justice Programs, U.S. Department of Justice.

The program described in this application kit is competitive and will be conducted in two phases. During Fiscal Year (FY) 1994, selected public agencies will receive grants of up to \$50,000 to develop plans for correctional options programs. During FY 1995, each public agency that received a planning grant during FY 1994 will be eligible to compete for one of ten pilot grants to implement its correctional options project.

## Purpose

The purpose of this program is to demonstrate the development and implementation of cost-effective correctional options which reduce reliance on incarceration within existing correctional systems, and which provide treatment and services to assist youthful offenders in pursuing a course of lawful and productive conduct.

## Background

The Correctional Options Incentive Amendments, Title XVIII of the Crime Control Act of 1990, Pub. L. 101-647, was authorized in response to the pervasive problems of prison and jail overcrowding and the high recidivism rate of youthful offenders who serve time in traditional correctional institutions. This program implements section 515 of the Act, 42 U.S.C. 3762a(a). The Amendments suggest that Congress had the following general intentions in authorizing COGP:

- to provide more appropriate intervention for youthful offenders who are not career criminals, but who, without such intervention, are likely to become career criminals and/or serious offenders;
- to provide a degree of security and discipline appropriate for the offender involved;
- to provide diagnosis, treatment, and services to assist offenders in pursuing a course of lawful and productive conduct following release, including: counseling, substance abuse treatment, education, job training and placement assistance while under correctional supervision, and linkage to similar outside services;
- to reduce criminal recidivism by offenders who receive punishments through such alternatives;
- to lower the cost of correctional services and facilities by reducing criminal recidivism; and

- to provide work that promotes development of industrial and service skills in connection with the correctional options.

For the purposes of this program, the term "correctional options" is defined as any cost-effective intervention between probation, prison, and parole that reduces reliance on incarceration while enhancing the reintegration of offenders into the community. Such interventions may include drug courts, boot camps, community service, day reporting, weekend incarceration, house arrest with electronic monitoring, intensive supervision, restitution and fines, client-specific planning, and any other innovative approach designed to have the greatest impact on youthful offenders who can be sanctioned more effectively in an environment other than a traditional correctional facility.

"Drug Courts" are defined as courts that use court-monitored drug treatment under a diversion, deferred prosecution, or deferred sentencing arrangement to achieve changes in defendants' drug-using behavior, or courts that use differentiated case management or other special case processing procedures to speed the disposition of drug cases.

"Boot Camps" are defined as correctional facilities in which inmates adhere to a highly regimented schedule that involves strict discipline, physical training, public service, work, and participation in appropriate education, job training, substance abuse counseling or treatment, and aftercare services that are coordinated with the program carried out during the period of incarceration.

"Youthful" offenders are defined as 14 to 25 years of age. Applicants are reminded that they must comply with the Federal Juvenile Justice and Delinquency Prevention Act of 1974, as amended, particularly those provisions which prohibit juveniles, who are adjudicated delinquent in juvenile or family court, from being held in secure facilities with adult offenders.

Applicants should understand that the services and sanctions provided with COGP funds should result in decreasing the number of incarcerated youthful offenders. Only those offenders who would otherwise have been incarcerated in a traditional correctional facility, or who are already incarcerated in a traditional correctional facility, will be eligible to participate in COGP - Part I.

Under Part I of this program, planning grants in FY 1994 will be made to eligible public agencies to develop plans for alternatives to traditional modes of incarceration and offender release programs. Correctional options which exhibit the following characteristics will be given primary consideration:

- (1) Projects that divert youthful offenders who otherwise would have been incarcerated in traditional correctional facilities.
- (2) Projects that reduce the length of stay of youthful offenders incarcerated in correctional facilities.
- (3) Projects that provide sanctions, other than incarceration, for those youthful offenders who violate the terms of their probation or parole.
- (4) Projects that provide substance abuse treatment, education, workplace preparedness, and job placement services in an integrated delivery network aimed at reducing the high rate of recidivism of youthful offenders.

# Goals

The goals of the FY 1994 phase of Part I of the Correctional Options Grant Program are:

- (1) to support up to 25 public agencies in their development of program designs exhibiting the characteristics described above and which also:
  - include a long-term strategy and implementation plan for a correctional options project(s);
  - take the jurisdiction's sentencing structure into account;
  - are cost-effective;
  - have the support of key decisionmakers within the applicant's jurisdiction; and
- (2) to facilitate the participation and commitment of key decisionmakers in the planning and implementation of correctional options programs within those jurisdictions that receive FY 1994 planning grants.

For the purposes of this program, "key decisionmakers" are defined as those individuals or organizations which, either directly or indirectly, are most influential in the design, use, or funding of correctional options within the applicant's jurisdiction. During FY 1995, up to 10 jurisdictions, which have participated in the planning phase, will be selected to demonstrate correctional options projects that result from the planning phase.

# Strategy

This solicitation invites applications from public agencies interested in participating in a planning process leading toward the development of innovative correctional options as criminal justice sanctions. Applications must include a completed Application for Federal Assistance (Standard Form 424), including a detailed budget and a budget narrative, as called for on page 4 of the SF-424 and a program narrative (not to exceed 25 double-spaced pages). The program narrative should include the following:

- A problem statement that describes issues in the applicant's jurisdiction stemming from over-reliance on incarceration.
- A goal statement that describes the extent to which the proposed initiative will reduce reliance on incarceration within the applicant's jurisdiction.
- Identification of related governmental and community initiatives which complement, or will be coordinated with, the proposed planning process (including any existing correctional options and their target populations).
- Identification of key decisionmakers who will participate in the planning and the expected tenure of those individuals in their current positions, the individual who will manage the effort, the amount of time this party will devote to the effort, and necessary staff support to be allocated to the planning process.

- Assurance of willingness and interest on the part of key decisionmakers to address issues stemming from over-reliance on incarceration through the proposed planning process.
- A brief description of how key decisionmakers will participate in the planning process.
- Identification of data/information to be collected during the planning process, description of how data/information will be used during the planning process, and why this information will be used in the manner proposed by the applicant.
- Assurance of the jurisdiction's capacity to gather and analyze the necessary data.
- Demonstration of a willingness and ability to participate in two technical assistance workshops sponsored by BJA, as described in Steps I and III below.

The FY 1994 phase of Part I of COGP will be implemented through the following five steps, over a 9-month period.

## Step I - The Planning Workshop

Each applicant who receives a planning grant will be required to attend a 3½-day technical assistance workshop (to be held in the Washington, D.C. metropolitan area) sponsored by BJA. The workshop is scheduled for late October or early November. Applicants may use COGP funds to cover the costs of travel and per diem for teams of planning participants from their jurisdictions to attend the workshop. Each grantee's team should include at least five key decisionmakers who will participate in the grantee's correctional options planning process. The individual who will manage the applicant's planning process must be included in the workshop team. Others that the applicant may wish to consider for team membership should include such individuals as the prosecutor, court leadership, public defender, elected public officials, law enforcement officials, and the chief institutional or community-based correctional official in the jurisdiction. Applicants are encouraged to maintain consistent team membership for each workshop described herein. The workshop will assist grantees in designing their planning processes. Training also will be provided in how to maximize the participation of key decisionmakers in the planning process and how to accurately identify and quantify a target population for programs or services developed as a result of the planning process.

## Step II - Planning Process Implementation

Grantees will return to their jurisdictions to implement their planning processes. During this step grantees will be required to provide BJA the following assurances.

- The planning process is appropriately coordinated with related governmental and community initiatives which will complement the proposed correctional options program.
- Key decisionmakers are actively involved in the planning process.
- Data and information necessary to sound program development are being gathered.
- The individual selected to manage the planning process has the support, resources, and time required to successfully direct the effort.

### Step III - The FY 1995 Application Development Workshop

Grantees will be required to attend a second 3½ day technical assistance workshop (to be held in the Washington, D.C. metropolitan area) sponsored by BJA. The workshop is scheduled for the latter half of January. Applicants may use COGP funds to cover the costs of travel and per diem for teams of planning participants from their jurisdictions to attend the workshop. Each grantee's team should include the same key decisionmakers who participated in the first workshop described above under Step I. The purpose of this workshop will be to assist each grantee in maintaining and enhancing the commitment of key decisionmakers to its correctional options planning process and to facilitate the development of applications (based on the results of the applicant's planning process) for pilot programs to be funded with FY 1995 grants.

### Step IV - Development of the FY 1995 Application

Grantees will return to their jurisdictions and develop applications for FY 1995 pilot programs/projects.

### Step V - Competition for FY 1995 Correctional Options Grants

Fiscal Year 1994 COGP grantees who submit competitive applications for FY 1995 grants will be required to present their proposed program designs to BJA officials in Washington, D.C. Applicants may use FY 1994 planning grant funds to cover the costs of travel and per diem for one person to present their FY 1995 program design to BJA. BJA will select up to 10 public agencies to receive FY 1995 funds to implement the program(s) or services described in their applications.

## Selection Criteria

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

Background Statement ..... 20 points

Applicants must concisely describe the issue(s) and/or problem(s) stemming from over-reliance on incarceration and explain how the planning process will enable them to achieve the goals outlined in their proposals. Goals identified in the applicant's proposal must be realistic and achievable.

Merits of the Proposed Approach ..... 20 points

Applicants must relate the merits of the approach proposed in their application to BJA's goals outlined in the foregoing sections. Applicants will be rated in this category on the innovativeness and creativity of the approach and its potential to increase the knowledge base of "what works." Applicants should show how the proposed approach relates to, or is integrated with, the overall criminal justice system.

Soundness of the Proposed Planning Process ..... 30 points

Effective planning and implementation of correctional options programs requires (a) the representation and active participation of key decisionmakers in the criminal justice system as well as the relevant community stakeholders, and (b) the collection of data and information needed to make informed decisions about the role and mission of correctional options within the jurisdiction's sanctioning framework and about the types of offenders to be targeted for participation in such programs. Therefore, applicants must concisely identify (1) the relevant decisionmakers, specifying how these parties will participate in the proposed planning process, and (2) the data or information to be collected during the planning process. Applicants must also demonstrate their willingness and ability to engage in a rigorous evaluation, including random assignment, in FY 1995.

Qualifications of Project Staff ..... 20 points

Applicants must provide the names for and concisely describe the capabilities and work experience of the individual designated to manage the planning process and must demonstrate that the amount of time this individual will devote to the initiative is sufficient to achieve the aims of the proposed planning process. The relationship of prior work experience to the requirements of the planning process also must be clearly demonstrated.

Budget ..... 10 points

Applicants must provide a budget with a detailed justification for all costs, including the basis for computation of these costs. The budget must be complete, reasonable, and cost-effective in relation to the proposed planning process.

Applicants should be aware that the legislation states that awards must go to public agencies in various geographic areas throughout the United States. Applicants should also be aware that it is BJA's intention to make awards to jurisdictions of various sizes.

## Evaluation

Responsibility for program evaluation resides with the U.S. Department of Justice during both the FY 1994 planning and FY 1995 pilot phases of the program. Therefore, applicants should not set aside grant funds for evaluation of their proposed correctional options planning or pilot projects.

## Award Period

Fiscal Year 1994 planning grants will be awarded for a 9-month period.

## Award Amount

Up to 25 projects will be funded under this initiative in FY 1994. Applicants are eligible to apply for up to \$50,000.

## **Due Date**

Applications must be postmarked no later than July 15, 1994.

## **Contact**

For further information, contact Richard Sutton, Ph.D., Program Manager, Bureau of Justice Assistance, Corrections Branch, (202) 514-5947.

# Application and Administrative Requirements

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## Eligibility Requirements

This solicitation is limited to public agencies, but is not limited to correctional agencies. Applicant agencies may choose to submit joint proposals with other eligible organizations as long as one organization is designated in the application as the applicant and any co-applicants are designated as such. Only those jurisdictions which have participated in the FY 1994 planning phase of the COGP will be eligible to apply for funding in FY 1995. Applicants must also demonstrate that they have the management and financial capabilities to implement effectively a project of the size and scope described herein.

## Application Requirements

All applicants must submit a completed Application for Federal Assistance (Standard Form 424), including a program narrative, a detailed budget, and a budget narrative. All applications must be submitted on 8½ x 11 paper. Applications should not exceed 25 double-spaced pages, including appendixes, and should be printed on one side of the paper only. A signed original and nine unbound copies of the application, along with a disk-copy of the application in WordPerfect 5.1 format. A copy of Standard Form 424 is provided in Appendix C of this application kit. Video presentations will not be accepted. Applications submitted via FAX will not be accepted.

Executive Order 12372 requires applicants from State and local units of government, or other organizations providing services within a State, to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and specify whether this program has been selected for review by the State. A list of the State Single Point of Contacts is available in Appendix A of this application kit. Applicants must contact their State SPOC to determine if the program has been selected for review by the State.

An additional copy of the application also must 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 State Offices is located in Appendix B.

In addition to the required standard assurances that are part of the Standard Form 424, each application must include a certification that Federal funds made available under the grant will not be used to supplant State or local funds.

In submitting applications naming more than one organization, a consortium of agencies or co-applicants, the relationship 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 co-applicant must be designed as the payee to receive and disburse project funds and be responsible for the supervision and coordination of the activities of the other co-applicant(s). Under this agreement, each organization would agree to be jointly and severally responsible for all project funds and services. Each co-applicant must sign the SF-424 to indicate their

acceptance of the conditions of joint and several responsibilities with the other co-applicant(s). Applicants that include non-competitive contracts for the provision of specific services must include a sole source justification for any procurement in excess of \$10,000.

Applications should be sent to the following address:

**Bureau of Justice Assistance  
Central Control Desk, Room 1042 D  
633 Indiana Avenue, NW  
Washington, DC 20531-0001**

## **Financial Requirements**

For budget detail, budget narrative, and program planning purposes, applicants are reminded that planning grant funds may be used to cover the costs of travel and per diem from participants jurisdictions to attend the required meetings and workshops described herein. Travel funds may be used to cover coach fares for long distance travel and reasonable costs for local travel. Applicants should anticipate the costs of coach class air fares, from their point of origin to Dulles International Airport in suburban Washington, D.C. assuming a Saturday night overlay, when budgeting for the planning workshops described above under Steps I and III. The Federal per diem rate (covering the costs of meals and lodging) for Washington, DC is \$151.00. The total estimated cost for meals and lodging at the workshops described above under Steps I and III is \$604.00 per person per workshop.

Planning grant funds may also be used to cover personnel and fringe benefits, data collection and analysis, supplies, technical assistance, and other costs directly associated with the applicant's proposed project. Requests for construction funding will not be considered. Applicants seeking funds for indirect charges must obtain federally approved indirect cost rates.

Discretionary grant funds are governed by the provisions of the Office of Management and Budget (OMB) circulars applicable to financial assistance. The circulars, along with additional information and guidance, are contained in the Office of Justice Programs (OJP) *Financial and Administrative Guide for Grants Guideline Manual (M7100)*. This manual includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. Copies of the manual are available from OJP, Office of the Comptroller, 633 Indiana Ave, NW., Washington, DC 20531-0001.

## **Standard Form 424 Format**

Most items on the cover page of the Standard Form 424 are self-explanatory. For purposes of this application, please include the following information:

**Cover page, Block 7**

Type of Applicant: If the applicant is representing a consortium of agencies, specify by checking Block N and entering "Consortium."

**Cover page, Block 10**

Catalogue of Federal Domestic Assistance: The Number for this program is 16.580.

Title: Drug Control and System Improvement Discretionary Grant Program

**Cover page, Block 11**

Descriptive Title of Applicant's Project: Correctional Options Grant Program

## **Civil Rights Requirements**

**Prohibition of Discrimination for Recipients of Federal Funds.** No person in any State shall on the grounds of race, color, religion, national origin, 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 1968, as amended, 42 U.S.C. 3789d; 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; 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, rather than a grant-by-grant, basis.

## **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(s) to which they are required to attest. A copy of the form is provided in Appendix C 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 Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; 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 that would result in suspension. Hearing and appeal procedures for termination actions are set forth in 28 CFR Part 18 of the Department of Justice regulations.

# Appendix A

## State Single Point of Contact

### ARIZONA

Arizona State Clearinghouse  
3800 North Central Avenue  
Fourteenth Floor  
Phoenix, Arizona 85012  
Telephone: (602) 280-1315

### ARKANSAS

Office of Intergovernmental Services  
Department of Finance and Administration  
P.O. Box 3278  
Little Rock, Arkansas  
Telephone: (501) 682-1074

### CALIFORNIA

Office of Planning and Research  
1400 Tenth Street  
Sacramento, California 95814  
Telephone: (916) 323-7480

### COLORADO

State Clearinghouse  
Division of Local Government  
1313 Sherman Street, Room 520  
Denver, Colorado 80203  
Telephone: (303) 866-2156

### CONNECTICUT

State Single Point of Contact  
Office of Policy and Management  
Intergovernmental Policy Division  
80 Washington Street  
Hartford, Connecticut 06106-4459  
Telephone: (203) 566-3410

### DELAWARE

State Single Point of Contact  
Executive Department  
Thomas Collins Building  
Dover, Delaware 19903  
Telephone: (302) 736-3326

### DISTRICT OF COLUMBIA

State Single Point of Contact  
Executive Office of the Mayor  
Office Intergovernmental Relations  
Room 416, District Building  
1350 Pennsylvania, Avenue, NW  
Washington, DC 20004  
Telephone: (20) 727-9111

### FLORIDA

Florida State Clearinghouse  
Executive Office of the Governor  
Office of Planning and Budgeting  
The Capitol  
Tallahassee, Florida 32399-0001  
Telephone: (904) 488-8114

### GEORGIA

Georgia State Clearinghouse  
270 Washington Street, S.W.  
Atlanta, Georgia 30334  
Telephone: (404) 656-3855

### HAWAII

Office of State Planning  
Office of the Governor  
P.O. Box 3540  
Honolulu, Hawaii 96811  
Telephone: (808) 587-2802

### ILLINOIS

State Single Point of Contact  
Office of the Governor  
State of Illinois  
Springfield, Illinois 62706  
Telephone: (217) 782-8639

### INDIANA

State Budget Agency  
212 State House  
Indianapolis, Indiana 46204  
Telephone: (317) 232-5610

**IOWA**

Iowa Department of Economic Development  
200 East Grand Avenue  
Des Moines, Iowa 50309  
Telephone: (515) 281-3725

**KENTUCKY**

Department of Local Government  
1024 Capitol Center Drive  
Frankfort, Kentucky 40601  
Telephone: (502) 564-2382

**MAINE**

State Planning Office  
State House Station #38  
Augusta, Maine 04333  
Telephone: (207) 289-3261

**MARYLAND**

Department of State Planning  
301 West Preston Street  
Baltimore, Maryland 21201  
Telephone: (301) 225-4490

**MASSACHUSETTS**

Executive Office of Communities and  
Development  
100 Cambridge Street, 1803  
Boston Massachusetts 02202  
Telephone: (617) 727-7001

**MICHIGAN**

Manager Federal Project Review  
Michigan Department of Commerce  
Michigan Neighborhood Builders Alliance  
P.O. Box 30242  
Lansing, Michigan 48909  
Telephone: (517) 373-6223

**MISSISSIPPI**

Office of Policy Development  
Department of Finance and Administration  
455 N. Lamar Street - Suite 120  
Jackson, Mississippi 39202  
Telephone: (601) 359-6765

**MISSOURI**

Office of Administration  
P.O. Box 809  
Room 430, Truman Building  
Jefferson City, Missouri 65102  
Telephone: (314) 751-4834

**NEVADA**

Department of Administration  
Capitol Complex  
Carson City, Nevada 89710  
Clearinghouse Coordinator  
Telephone: (702) 687-4065

**NEW HAMPSHIRE**

Attention: Intergovernmental Review  
2 1/2 Beacon Street  
Concord, New Hampshire 03301  
Telephone: (603) 271-2155

**NEW JERSEY**

State Review Process  
Division of Community Resources  
CN 814, Room 609  
Trenton, New Jersey 08625-0814  
Telephone: (609) 292-9025

**NEW MEXICO**

State Budget Division  
Rm 190, Bataan Memorial Bldg.  
Santa Fe, New Mexico 87503  
Telephone: (505) 827-3640

**NEW YORK**

New York State Clearinghouse  
Division of the Budget  
State Capitol  
Albany, New York 12224  
Telephone: (518) 474-1605

**NORTH CAROLINA**

Intergovernmental Relations  
N.C. Department of Administration  
116 W. Jones Street  
Raleigh, North Carolina 27611  
Telephone: (919) 733-0499

**NORTH DAKOTA**

North Dakota Single Point of Contact  
Office of Intergovernmental  
Assistance  
Office of Management and Budget  
600 East Boulevard Avenue  
Bismarck, North Dakota 58505-0170  
Telephone: (701) 224-2094

**RHODE ISLAND**

Statewide Planning Program  
Department of Administration  
Division of Planning  
25 Melrose Street  
Providence, Rhode Island 02907  
Telephone: (401) 277-2656

Attn: Review Coordinator  
Office of Strategic Planning

**SOUTH CAROLINA**

State Single Point of Contact  
Grant Services  
Office of the Governor  
1205 Pendleton Street  
Room 477  
Columbia, South Carolina 29201  
Telephone: (803) 734-0494

**SOUTH DAKOTA**

State Clearinghouse Coordinator  
Office of the Governor  
500 East Capitol  
Pierre, South Dakota 57501  
Telephone: (605) 773-3212

**TENNESSEE**

State Single Point of Contact  
State Planning Office  
500 Charlotte Avenue  
309 John Sevier Building  
Nashville, Tennessee 37219  
Telephone: (615) 741-1676

**TEXAS**

Governor's Office of Budget and Planning  
P.O. Box 12428  
Austin, Texas 78711  
Telephone: (512) 463-1778

**UTAH**

Utah State Clearinghouse  
Office of Planning and Budget  
Room 116 State Capitol  
Salt Lake City, Utah 84114  
Telephone: (801) 538-1535

**VERMONT**

Office of Policy Research and  
Coordination  
Pavilion Office Building  
109 State Street  
Montpelier, Vermont 05602  
Telephone: (802) 828-3326

**WEST VIRGINIA**

Community Development Division  
Governor's Office of Community  
Industrial Development  
Building #6 Room 553  
Charleston, West Virginia 25305  
Telephone: (304) 348-4010:

**WISCONSIN**

Federal/State Relations Office  
Wisconsin Department of Administration  
101 South Webster Street  
P.O. Box 7864  
Madison, Wisconsin 53707

**WYOMING**

State Single Point of Contact  
Wyoming State Clearinghouse  
State Planning Coordinator's Office  
Capitol Building  
Cheyenne, Wyoming 82002  
Telephone: (307) 777-7574

**TERRITORIES****GUAM**

Bureau of Budget and Management  
Research  
Office of the Governor  
P.O. Box 2950  
Agana, Guam 96910  
Telephone: (671) 472-2285

**PUERTO RICO**

Puerto Rico Planning Board  
Minillas Government Center  
P.O. Boc 4119  
San Juan, Puerto Rico 00940-9985  
Telephone: (809) 727-4444

**NORTHERN MARIANA ISLANDS**

State Single Point of Contact  
Planning and Budget Office  
Office of the Governor  
Saipan, CM  
Northern Mariana Islands 96950

In accordance with executive Order #12372, "Intergovernmental Review Process," this listing represents the designated State Single Points of Contact. Upon request, a background document explaining the Executive Order is available. The Office of Management and Budget point of contact for updating this listing is: Donna Rivelle (202)395-5090. The States not listed no longer participate in the process. These include: Alabama, Alaska, Kansas, Idaho, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will be made only upon formal notification by the State.

# Appendix B

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

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### ALABAMA

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

**Contact:** Douglas Miller  
Phone: (205) 242-5891  
Fax: (205) 242-0712

### 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 Street, Suite 207  
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) 682-5206

### 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

**FLORIDA**

John A. Lenaerts  
*Chief*  
 Bureau of Community Assistance  
 The Rhyne Building  
 2740 Centerview Drive  
 Tallahassee, Florida 32399

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

**DELAWARE**

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

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

**GEORGIA**

Terry Norris  
*Director*  
 Criminal Justice Coordinating Council  
 503 Oak Place  
 Suite 540  
 Atlanta, Georgia 30349

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

**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:** Tonia Dansby  
 Phone: (202) 727-6537  
 Fax: (202) 727-1617

**HAWAII**

The Honorable Robert A. Marks  
*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  
 P.O. Box 700  
 Meridian, Idaho 83680-0700

**Contact: Cheri Elms**  
 Phone: (208) 884-7040  
 Fax: (208) 327-7176

**ILLINOIS**

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

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

**INDIANA**

Catherine O'Connor  
*Executive Director*  
 Indiana Criminal Justice Institute  
 302 W. Washington St., Rm E-209  
 Indianapolis, Indiana 46204

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

**IOWA**

Charles W. Larson  
*Coordinator*  
 Governor's Alliance on Substance Abuse  
 Lucas State Office Building  
 Des Moines, Iowa 50309

**Contact: Marilyn Milbrath**  
 Phone: (515) 281-4518  
 Fax: (515) 242-6390

**KANSAS**

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

**Contact: Brent Bengtson**  
*Director*  
 Abuse Programs  
 Ofc. Bidg.  
 112 Landon St.  
 900 Jackson  
 Topeka, Kansas  
 66612-1214  
 Phone: (913) 296-2584  
 Fax: (913) 296-0043

**KENTUCKY**

Billy G. 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 Blvd., Suite 708  
Baton Rouge, Louisiana 70806

**Contact:** Debbie Maggio  
Phone: (504) 925-3513  
Fax: (504) 925-1998

## MASSACHUSETTS

Dennis A. Humphrey  
*Executive Director*  
Massachusetts Committee on Criminal Justice  
100 Cambridge St., 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) 877-8016  
Fax: (207) 877-8027

## MICHIGAN

Robert E. Peterson  
*Director*  
Office of Drug Control Policy  
Michigan National Tower  
124 W. 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 E. Joppa Road, Suite 1105  
Towson, Maryland 21286

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

## MINNESOTA

Kevin Burns  
*Assistant Commissioner*  
Office of Drug Policy and Violence Prevention  
Department of Public Safety  
444 Cedar Street, Suite 100-D  
Town Square  
St. Paul, Minnesota 55101-2156

**Contact:** Billy Collins  
Phone: (612) 282-6556  
Fax: (612) 297-7313 (ODP)

**MISSISSIPPI**

Donald O'Cain  
*Executive Director*  
 Division of Public Safety Planning  
 Department of Public Safety  
 301 W. Pearl Street  
 Jackson, Mississippi 39203

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

**NEBRASKA**

Allen L. Curtis  
*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**

Terry L. Knowles  
*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) 751-5399

**NEVADA**

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

**Contact:** Mary Lynn Evans  
 Office of Nar-  
 cotics Control  
 Assistance  
 Phone: (702) 687-5282  
 Fax: (702) 687-6798

**MONTANA**

Ed Hall  
*Administrator*  
 Montana Board of Crime Control  
 303 North Roberts  
 Scott Hart Bldg.  
 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**

James S. Mulvihill  
*Interim 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

**NORTH CAROLINA**

Virginia Price  
*Director*  
Governor's Crime Commission  
3824 Barrett Drive, Suite 100  
Raleigh, North Carolina 27609

**Contact: Natalie Mittag**  
Phone: (919) 571-4736  
Fax: (919) 571-4745

**NEW MEXICO**

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

**Contact: Harold Byford**  
Phone: (505) 827-9099  
Fax: (505) 827-3434

**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: Joe Herslip**  
Phone: (701) 221-5500  
Fax: (701) 221-5510

**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) 457-1186

**OHIO**

Michael Lee  
*Interim Director*  
Governor's Office of Criminal Justice Services  
400 East Town Street, Suite 120  
Columbus, Ohio 43215

**Contact: Georgia Hart**  
Phone: (614) 466-7782  
Fax: (614) 466-0308

**OKLAHOMA**

Bruce Walker  
*Executive Coordinator*  
District Attorneys Training and  
Coordination Council  
2200 Classen Blvd., Suite 1800  
Oklahoma City, Oklahoma 73106-5811

**Contact:** Gayle Caldwell  
Phone: (405) 557-6707  
Fax: (405) 524-0581

**PUERTO RICO**

The Honorable Pedro R. Pierluisi  
*Attorney General*  
Department of Justice  
Commonwealth of Puerto Rico  
P.O. Box 192  
San Juan, Puerto Rico 00902

**Contact:** Astrid Conde-Ramirez  
Phone: (809) 725-0335  
Fax: (809) 725-6144

**OREGON**

Jane Edwards  
*Acting Administrator*  
Criminal Justice Services Division  
Department of Administration  
155 Cottage Street, N.E.  
Salem, Oregon 97310

**Contact:** Jane Edwards  
Phone: (503) 378-4123  
Fax: (503) 378-8666

**RHODE ISLAND**

Suzette Gebhard  
*Executive Director*  
Governor's Justice Commission  
222 Quaker Lane, Suite 100  
Warwick, Rhode Island 02893

**Contact:** David LaDoux  
Phone: (401) 277-2620  
Fax: (401) 277-1294

**PENNSYLVANIA**

James Thomas  
*Executive Director*  
Pennsylvania Commission on Crime and  
Delinquency  
P.O. Box 1167, Federal Square Station  
Harrisburg, Pennsylvania 17108-8559

**Contact:** Richard Reeser  
Phone: (717) 787-2040  
Fax: (717) 783-7713

**SOUTH CAROLINA**

Burke O. Fitzpatrick  
*Administrator*  
Office of Safety and Grant Programs  
Department of Public Safety  
1205 Pendleton Street  
Columbia, South Carolina 29201

**Contact:** William P. Collier, Jr.  
Phone: (803) 734-0268  
Fax: (803) 734-0537

**SOUTH DAKOTA**

Frank D. Brost  
*Executive Assistant*  
Office of the Governor  
Attorney General's Task Force on Drugs  
500 E. Capitol Ave.  
Pierre, South Dakota 57501

**Contact: Don Brekke**  
Phone: (605) 773-4687  
Fax: (605) 773-6471

**UTAH**

S. Camille Anthony  
*Executive Director*  
Commission on Criminal and Juvenile Justice  
State Capitol Building  
Room 101  
Salt Lake City, Utah 84114

**Contact: Laura Lewis**  
Phone: (801) 538-1031  
Fax: (801) 538-1024

**TENNESSEE**

Roy R. Ryall  
*Director*  
Criminal Justice Administration  
Dept. of Finance and Administration  
302 John Sevier Building, Suite 509  
500 Charlotte Avenue  
Nashville, Tennessee 37243-1600

**Contact: Kurt Frederick**  
**Roy McKuhen**  
Phone: (615) 741-3784  
Fax: (615) 532-2989

**VERMONT**

James Walton, Jr.  
*Commissioner*  
Vermont Department of Public Safety  
Waterbury State Complex  
103 S. Main Street  
Waterbury, Vermont 05676-0850

**Contact: Capt. Donald Ravenna**  
Phone: (802) 244-8781  
Fax: (802) 244-1106

**TEXAS**

Doyme Bailey  
*Executive Director*  
Criminal Justice Division  
P.O. Box 12428, Capitol Station  
Austin, Texas 78711

**Contact: Jimmy Willborn**  
Phone: (512) 463-4959  
Fax: (512) 463-1705

**VIRGINIA**

Lindsay Dorrier, Jr.  
*Director*  
Department of Criminal Justice Services  
805 East Broad Street  
Richmond, Virginia 23219

**Contact: Joe Marshall**  
Phone: (804) 786-1577  
Fax: (804) 371-8981

**VIRGIN ISLANDS**

Gaylord Sprauve  
*Drug Policy Advisor*  
Virgin Islands Law Enforcement  
Planning Commission  
116 & 164 Submarine Base  
Estate Nisky #6 Southside Quarters  
St. Thomas, Virgin Islands 00802

**Contact:** Helene Smollett  
Phone: (809) 774-6400  
Fax: (809) 774-4057

**WASHINGTON**

Mike Fitzgerald  
*Director*  
Washington State Department of Community,  
Trade, and Economic Development  
906 Columbia Street, S.W.  
P.O. Box 48300  
Olympia, Washington 98504

**Contact:** Kay Boyd  
Phone: (206) 586-0665  
Fax: (206) 586-6868

**WEST VIRGINIA**

James M. Albert  
*Director*  
Office of Criminal Justice  
and Highway Safety  
Department of Military  
Affairs and Public Safety  
1204 Kanawha Blvd., East  
Charleston, W. VA 25301

**Contact:** Melissa Whittington  
Phone: (304) 558-8814  
Fax: (304) 558-0391

**WISCONSIN**

Steven D. Sell  
*Executive Director*  
Wisconsin Office of Justice Assistance  
222 State Street, Second Floor  
Madison, Wisconsin 53702

**Contact:** Raymond J. Luick  
Phone: (608) 266-7185  
Fax: (608) 266-6676

**WYOMING**

Thomas J. Pagel  
*Director*  
Division of Criminal Investigation  
316 West 22nd Street  
Cheyenne, Wyoming 82002

**Contact:** Sandra Mays  
Phone: (307) 777-7181  
Fax: (307) 777-7252

**AMERICAN SAMOA**

Malaetasi M. Togafau  
*Attorney General*  
Office of Legal Affairs  
American Samoa Government  
P.O. Box 7  
Pago Pago, American Samoa 96799

**Contact:** Craig Keener  
Phone: (9) (011) 684-633-4163  
Fax: (9) (011) 684-633-1838

**COMMONWEALTH,  
NO. MARIANA ISLANDS**  
Jack Ogumoro  
*Acting Executive Director*  
Criminal Justice Planning Agency  
Commonwealth of the Northern Mariana  
Islands  
Office of the Governor  
Saipan, MP 96950

**Contact: Jack Ogumoro**  
Phone: (9) (011) 670-322-9350  
Fax: (9) (011) 670-322-6311

**GUAM**  
Michael J. Cruz  
*Acting Director*  
Bureau of Planning  
Governor's Office  
P.O. Box 2950  
Agana, Guam 96910

**Contact: Miki Leon Guerrero**  
Phone: (9)(011)671-472-8931 (ext  
405)  
Fax: (9) (011) 671-477-1812

# Appendix C

## Application Forms

# APPLICATION FOR FEDERAL ASSISTANCE

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

**5. APPLICANT INFORMATION**

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

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table>																					<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <input type="checkbox"/> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%;">A. State</td> <td style="width:50%;">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): _____																																		

<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award      B. Decrease Award      C. Increase Duration D. Decrease Duration      Other (specify): _____	<b>9. NAME OF FEDERAL AGENCY:</b> _____
--	--

<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> <td style="border: 1px solid black; width: 20px; height: 20px;"></td> </tr> </table> <b>TITLE:</b> _____											<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> _____ _____ _____
<b>12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):</b> _____ _____											

<b>13. PROPOSED PROJECT:</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 50%;">Start Date</td> <td style="border: 1px solid black; width: 50%;">Ending Date</td> </tr> </table>	Start Date	Ending Date	<b>14. CONGRESSIONAL DISTRICTS OF:</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:60%;">a. Applicant</td> <td style="width:40%;">b. Project</td> </tr> </table>	a. Applicant	b. Project
Start Date	Ending Date				
a. Applicant	b. Project				

<b>15. ESTIMATED FUNDING:</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 30%;">a. Federal</td> <td style="border: 1px solid black; width: 30%;">\$</td> <td style="border: 1px solid black; width: 30%;">.00</td> </tr> <tr> <td style="border: 1px solid black;">b. Applicant</td> <td style="border: 1px solid black;">\$</td> <td style="border: 1px solid black;">.00</td> </tr> <tr> <td style="border: 1px solid black;">c. State</td> <td style="border: 1px solid black;">\$</td> <td style="border: 1px solid black;">.00</td> </tr> <tr> <td style="border: 1px solid black;">d. Local</td> <td style="border: 1px solid black;">\$</td> <td style="border: 1px solid black;">.00</td> </tr> <tr> <td style="border: 1px solid black;">e. Other</td> <td style="border: 1px solid black;">\$</td> <td style="border: 1px solid black;">.00</td> </tr> <tr> <td style="border: 1px solid black;">f. Program Income</td> <td style="border: 1px solid black;">\$</td> <td style="border: 1px solid black;">.00</td> </tr> <tr> <td style="border: 1px solid black;">g TOTAL</td> <td style="border: 1px solid black;">\$</td> <td style="border: 1px solid black;">.00</td> </tr> </table>	a. Federal	\$	.00	b. Applicant	\$	.00	c. State	\$	.00	d. Local	\$	.00	e. Other	\$	.00	f. Program Income	\$	.00	g TOTAL	\$	.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> 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																				
<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <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:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with this application.   |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.  |       |  |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |       |  |

# BUDGET 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:
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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.

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Public reporting burden for this collection of information is estimated to average 26 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 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.

Signature

Date

# DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB  
0348-0046

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

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. Initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee <p style="text-align: center;">Tier _____, if known:</p> <p style="text-align: center;">Congressional District, if known:</p>	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   <p style="text-align: center;">Congressional District, if known:</p>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity</b> (if individual, last name, first name, MI):   	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):   <p style="text-align: center;"><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>	
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <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: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ <p style="text-align: center;">value _____</p>		
<b>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:</b>          <p style="text-align: center;"><i>(attach Continuation Sheet(s) SF-LLL-A, if necessary)</i></p>		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>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.</b>	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____      Date: _____	
Federal Use Only: _____		
Authorized for Local Reproduction Standard Form - LLL		

## 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 subrecipients shall certify and disclose accordingly.

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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