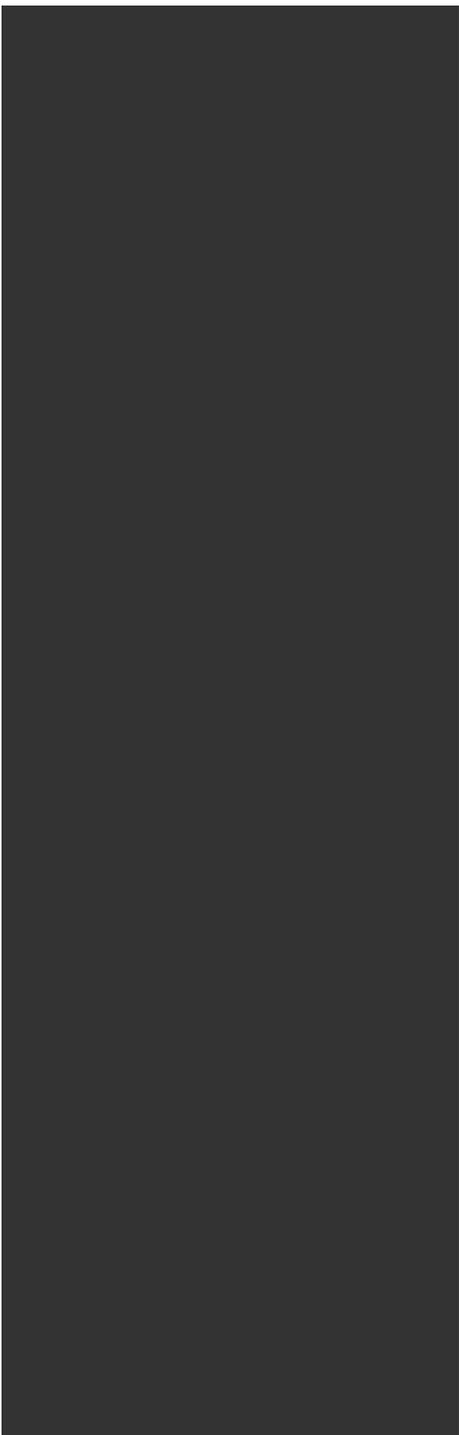


**U.S. Department of Justice**  
Office of Justice Programs  
*Violence Against Women Office*

---

---

**OJP**  
Violence Against Women Office



***Comprehensive  
Approaches  
To Sex  
Offender  
Management  
Grant Program***

***Fiscal Year 1999  
Application Kit***

***Letter of Intent  
Deadline: April 16, 1999***

***Application  
Deadline: May 14, 1999***

# ***Comprehensive Approaches to Sex Offender Management Grant Program***

***Fiscal Year 1999  
Application Kit***

***Letter of Intent Deadline: April 16, 1999***

***Application Deadline: May 14, 1999***

---

---

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

**Janet Reno**  
*Attorney General*  
U.S. Department of Justice

**Raymond C. Fisher**  
*Associate Attorney General*

**Laurie Robinson**  
*Assistant Attorney General*

**Noël Brennan**  
*Deputy Assistant Attorney General*

**Bonnie Campbell**  
*Director*  
*Violence Against Women Office*

---

**Office of Justice Programs**  
**World Wide Web Homepage**  
*<http://www.ojp.usdoj.gov>*

---

**Violence Against Women Office**  
**World Wide Web Homepage**  
*<http://www.ojp.usdoj.gov/vawgo>*

---

---

## CONTENTS

I.	Introduction.....	1
	A. Introduction	
	B. Scope of the Problem	
	C. Program Purposes	
	D. The Role of CSOM	
	E. General Expectations	
	F. Award Specifications	
II.	Eligibility .....	7
	A. Who is Eligible?	
	B. Requirements for All Applicants	
	C. Restrictions	
III.	Project Framework .....	11
	A. Planning Grants	
	B. Implementation/Enhancement Grants	
	C. Project Management	
IV.	Data Collection Expectations.....	13
	A. Goals	
	B. Definition of Research Coordinator	
	C. Qualifications of the Research Coordinator	
	D. Planning Grants	
	E. Implementation/Enhancement Grants	
	F. Type of Data Collection	
V.	Grant Category Checklist .....	17
VI.	Planning Grant Application Content.....	19
VII.	Implementation/Enhancement Grant Application Content.....	23
VIII.	Review Process.....	27
	A. Review Panel	
	B. Selection Criteria	

IX.	Submission Requirements.....	29
	A. Letter of Intent	
	B. Application Submission	
X.	Further Information .....	31
XI.	Administrative Requirements.....	33
XII.	Reporting Requirements.....	37
	Appendix A: Standard Application Form, Sample Standard Application Form	
	Appendix B: Assurances	
	Appendix C: Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement	
	Appendix D: Budget Detail Worksheet and Sample Budget Detail Worksheet	
	Appendix E: Sample Memorandum of Understanding	
	Appendix F: Sample Non-Supplantation Letter	
	Appendix G: Single Points of Contacts	

## SECTION I. INTRODUCTION

---

---

### A. Introduction

The Office of Justice Programs has long had a commitment to assist the field as practitioners and policy makers work to develop approaches to more effectively manage sex offenders. This commitment has been expressed in a variety of ways, including: the sponsorship of research efforts through the National Institute of Justice and the Office of Juvenile Justice and Delinquency Prevention; the use of Bureau of Justice Assistance funds, through the Edward Byrne Memorial Grant program, to support the implementation of specific programmatic efforts; and, most recently, through the convening of a national summit on this topic and the implementation of a national training and technical assistance effort to carry out a variety of assistance strategies.

In November 1996, the Office of Justice Programs (OJP) convened the *National Summit: Promoting Public Safety Through the Effective Management of Sex Offenders in the Community*. The Summit sought input from over 180 practitioners, academic researchers, and other experts regarding the most effective management strategies for this challenging offender population. Participants were also asked about the needs of their colleagues as they work together to make America's communities safer. In response to participants' recommendations, the Office of Justice Programs (OJP), in collaboration with the National Institute of Corrections (NIC), and the State Justice Institute (SJI), created the Center for Sex Offender Management (CSOM). (See Section D. below for a description of CSOM and its relationship to this grant program.)

### B. Scope of the Problem

Sex offender management is of heightening concern to the nation. It is estimated that in 1997, approximately 260,000 sex offenders were under the care, control, or custody of correctional programs throughout the country, and of these, approximately sixty percent were under probation or parole supervision.

In recent decades, increased attention to this offender population has led to many legislative, policy and practice initiatives at the state and local level. Despite this increased focus and level of activity, there remains much to be learned about the most effective approaches to sex offender management.

Several critical needs have led to the creation of the *Comprehensive Approaches to Sex Offender Management* grant program. These needs are:

- The need to encourage jurisdictions to focus their attention on this unique and challenging offender population;
- The need to assist jurisdictions as they work to expand their existing array of sex offender management strategies;
- The need to provide information and resources that jurisdictions can use to assess their unique needs;
- The need to document the array of approaches to sex offender management in use across the country; and
- The need to begin to develop information on the potential effectiveness of those approaches.

VAWO is sponsoring this initiative in an effort to address these needs. The four primary goals of the Comprehensive Approaches to Sex Offender Management Grant Program initiative are:

- To encourage jurisdictions to focus on juvenile and adult sex offenders under community supervision by engaging key stakeholders in a planning process that will build a base of knowledge regarding the practices currently in place in the jurisdiction, and encourage the development of a plan to build locally-tailored, comprehensive approaches to sex offender management;
- To assist jurisdictions as they implement plans for a comprehensive approach to sex offender management and/or to assist jurisdictions as they expand their existing array of sex offender management strategies;
- To document the practices, challenges and successes of these planning processes and approaches; and
- To collect information on existing practices and their outcomes.

### **C. Program Purposes**

This application package announces a new grant initiative entitled *Comprehensive Approaches to Sex Offender Management*. This grant program is intended for state, local, and tribal communities interested in

advancing their current policies and practices regarding the management of juvenile and/or adult sex offenders under community supervision. This program is sponsored by the Violence Against Women Office (VAWO) of the Office of Justice Programs (OJP), U.S. Department of Justice.

This new initiative is designed to encourage jurisdictions to address the effective management of sex offenders under community supervision. Through this initiative, VAWO offers two categories of grant awards:

- **Planning Grants:** Twelve to twenty state, local, and tribal jurisdictions will be selected to participate in a structured planning process on a competitive basis. The purpose of the planning process is to encourage jurisdictions to examine their current practices with regard to sex offender management and to develop plans for a more comprehensive, systemic approach to this issue. Awards of up to \$50,000 will require that jurisdictions establish multidisciplinary teams to participate in two strategic planning workshops, identify and carry out a specific set of policy analysis activities, participate in peer to peer exchanges to learn from more experienced jurisdictions, and receive technical assistance as needed.
- **Implementation/Enhancement Grants:** Eight to fifteen additional state, local, and tribal jurisdictions will be selected on a competitive basis to receive grants of \$50,000 to \$250,000, either to implement strategic plans that have been developed or to enhance the jurisdictions' existing sex offender management strategies. Grant funds will enable the multidisciplinary teams representing these jurisdictions to participate in two national workshops on state-of-the-art approaches to sex offender management and to implement services or activities necessary to the implementation of comprehensive strategies to manage effectively those sex offenders under supervision in their communities.

A non-binding letter of intent is due April 16, 1999. Applications for grant funds are due May 14, 1999. Only one application per jurisdiction will be accepted (for either a Planning Grant or an Implementation/Enhancement Grant). Applicants are strongly encouraged to use the Grant Category Checklist in Section V to determine the grant category most appropriate for the jurisdiction.

The Center for Sex Offender Management, an OJP initiative established in June 1997 to provide support to jurisdictions across the country to enhance sex offender management practices, will provide training and technical assistance to all grantees.

## **D. The Role of CSOM**

The Center for Sex Offender Management (CSOM) was established by the Office of Justice Programs, in collaboration with the National Institute of Corrections and the State Justice Institute in June of 1997, to enhance public safety by preventing further victimization through improving the management of sex offenders in the community. CSOM is administered by the Center for Effective Public Policy, in concert with the American Probation and Parole Association. CSOM's mission is carried out through the following four primary activity areas.

- **Training Initiatives:** CSOM designs and delivers training programs for probation and parole agencies, courts, treatment providers, victim advocates, and other key stakeholders throughout the country. CSOM provides intensive training workshops and seminars and is also developing a comprehensive training curriculum that will be made available on a state, regional, and local basis.
- **Resource Sites Initiative:** CSOM is working closely with a limited number of multidisciplinary teams that represent a broad array of approaches to sex offender management. CSOM provides assistance to enhance and improve current practices, documenting the lessons of these jurisdictions, and working with these teams to build their capacity to serve as resources to others.
- **Technical Assistance:** CSOM provides technical assistance in a variety of forms to jurisdictions that are committed to establishing effective sex offender management strategies and wish to enhance the delivery of those strategies.
- **Information Exchange:** Through the information exchange, CSOM is collecting and disseminating information on emerging issues and practices in the field.

CSOM will partner with VAWO to support the activities of all grantees, and will design and deliver training and technical assistance to each site as needed. CSOM will also draw upon the lessons of participating jurisdictions and share these with other communities interested in learning more about effective sex offender management.

## **E. General Expectations**

Applicants selected to participate in this initiative must be prepared to do the following if funded:

- Establish a collaborative team that will actively participate in the

planning/implementation process of all grant activities through regular communications and meetings;

- Support and manage this collaborative team by designating experienced staff or consultants to facilitate the ongoing work of the group;
- Participate in planning workshops, off-site training events, and other on- and off-site technical assistance to further the applicant's work;
- Collaborate with CSOM and VAWO staff, to determine the level and type of assistance most likely to assist the jurisdiction in meeting its goals;
- Create and monitor a work plan that specifically reflects the work of the jurisdiction; and
- Participate in the grant program's data collection effort.

**F. Award Specifications**

The award period for each grant is 18 months. Each of the award categories provides for the following grants at the specified dollar limits:

<b>Grant Category</b>	<b>Number of Sites to be Selected</b>	<b>Award Amount Per Site</b>
<i>Planning Grants</i>	Between 12 and 20	Up to \$50,000
<i>Implementation/ Enhancement Grants</i>	Between 8 and 15	Between \$50,000 - \$250,000



## SECTION II. ELIGIBILITY

---

---

### A. Who is Eligible?

State, local, and tribal communities who are interested in assessing their specific needs to advance their sex offender management practices for juvenile and/or adult offenders are eligible to apply for this initiative.

Applicants in varying stages of developing sex offender management strategies are eligible to apply for this initiative. Applicants should review Sections III and V carefully to determine the most appropriate grant category for the jurisdiction.

Applicants are strongly encouraged to coordinate the submission of applications within their jurisdictions to ensure that agencies within a single jurisdiction are not competing against one another in the grant process.

Each application must identify a public sector agency to serve as grantee and as a single point of contact for grant administration and coordination.

### B. Requirements for All Applicants

Applicants must meet the following requirements:

#### 1. Collaboration

All grantees must participate in a collaborative process throughout the grant period. For the purposes of this project, collaboration is defined as “the exchange of information, the altering of activities, the sharing of...resources, and the enhancement of the capacity of all to achieve a common purpose.” (Huxom, Chris. *Creating a Collaborative Advantage*. London, Thousand Oaks, California, and New Delhi: SAGE Publications Ltd., 1996).

All grantees will be required to convene a multidisciplinary collaborative team for the purposes of this project. All activities will be conducted within the context of that team. If there is no collaboration team currently in place that addresses sex offender management, applicants will be required to state the names and agencies of team members who will participate. Where such teams are already in place, applicants will be required to describe these teams in detail and discuss the addition of new members if necessary to meet the requirements noted below. Teams will be

required to submit a Memorandum of Understanding among appropriate agencies to establish this team if such an agreement does not already exist. Team members must include all of the various disciplines involved in sex offender management, and **must** include (but is not limited to):

- Sex offender specific treatment providers;
- The supervision agency or agencies;
- Corrections officials;
- The judiciary;
- The prosecution;
- A local nongovernmental nonprofit victim advocacy organization; and
- A research coordinator.

Jurisdictions are also strongly encouraged to include law enforcement, the defense community, and (particularly in the instance of jurisdictions working with juvenile sex offenders) school and social service representatives. Jurisdictions may also include polygraphers, members of the medical community, and others who influence, enhance, or are affected by the jurisdictions' sex offender management practices.

*The Role of the Judiciary.* Jurisdictions are strongly encouraged to consider the significant role the judiciary can play in the more effective management of sex offenders, and to examine the potential impact the use of judicial interventions might have on enhancing the likelihood of offender compliance. In particular, jurisdictions are encouraged to examine the more significant role judges have played in recent years in the management of offenders through drug courts, and apply relevant lessons from that arena to the management of sex offenders as applicable.

*The Role of the Victim Advocacy Community.* Jurisdictions are also strongly encouraged to address the essential role of the victim advocacy community in the formulation and implementation of policies and practices regarding the management of sex offenders, and to consider methods to gain fuller involvement of this key community in such efforts.

Individuals selected as team members should be those with the authority and responsibility for developing policy and influencing practice within the jurisdiction. Applicants who can demonstrate the active participation in, and commitment of, these individuals will receive preference in the review process. Each grantee will be further expected to convene regular meetings of its collaboration

team.

Teams members will be the persons to attend technical assistance and training events off-site, as well as the ongoing meetings of the team on-site. These events will assist sites with the development of their strategic plans and/or their implementation. The membership of the team is required to remain consistent and constant. Grantees must receive prior authorization to substitute a team member for any training or technical assistance event.

## **2. Work Plans**

Each Planning Grantee must engage in a strategic planning process, to include the preparation of a work plan for the eighteen-month grant period.

Each Implementation/Enhancement Grantee must create a work plan that addresses the implementation of the initiatives contained within its application. It is expected that the initial activities of the selected sites will include the refinement of the goals, tasks, and work plan contained within the application.

All applicants are required to include their initial work plan in their application. Work plans must be of reasonable and sound design. Work plans must contain goals and objectives, detail what tasks will be taken on, and the time frame in which the tasks should be completed. This work plan must be agreed upon by the members of the collaboration team, and referenced in the Memorandum of Understanding.

## **3. Participation in CSOM Efforts**

All grantees are expected to work with CSOM in determining training and technical assistance needs on an ongoing basis, to maintain regular contact with CSOM staff, and to coordinate routine visits from CSOM staff.

All grantees will be required to participate in planning workshops (including off-site training events) sponsored by CSOM, and to participate actively in on-site technical assistance.

#### **4. Data Collection**

All applicants are required to actively participate in the initiative's data collection effort. See Section IV.

#### **C. Restrictions**

**Risk Assessment** – Applicants are advised that no funds from this initiative will be directed to developing or validating risk assessment instruments.

**Community Based Approaches** –This initiative is specifically designed to assist jurisdictions in the development and/or implementation of approaches to the management of sex offenders under community supervision. Applications requesting assistance to support strictly institutional based efforts to manage sex offenders will not be considered.

### **SECTION III. PROJECT FRAMEWORK**

---

---

VAWO is offering two categories of grants, each with varying expectations and requirements attached. These two categories are:

#### **A. Planning Grants**

Planning Grants are intended to assist jurisdictions in developing a collaborative approach to sex offender management. These jurisdictions must be willing to engage in a process through which they will critically assess their current policies and practices regarding the management of sex offenders under community supervision (if any) and develop a strategic plan to enhance current practice.

This grant is intended for state, local, and tribal communities who have identified sex offender management as a serious issue and are ready to initiate a planning process to focus on this concern. This award category is ideal for jurisdictions that have had little opportunity to work together on this topic in the past, but are committed to the careful consideration of strategies that may be effective in their jurisdictions.

Funds for Planning Grants must be used to further the objectives of a strategic planning process. No match funds are required for Planning Grants.

#### **B. Implementation/Enhancement Grants**

Implementation/Enhancement Grants are intended to assist jurisdictions that are interested in expanding their current approach to sex offender management. These jurisdictions must be willing to engage in a collaborative process through which they will critically assess the gaps in their existing approach, and develop a plan to address those gaps. The Implementation/Enhancement Grant is ideal for those applicants that have already participated in a strategic planning process and now need seed money to implement one or more components of their strategy, or to enhance their existing efforts.

Participation in this initiative requires a 25% match. An in-kind match is acceptable. Funds for Implementation/Enhancement Grants must be used to further the goals and objectives of implementing or enhancing a comprehensive approach to sex offender management.

### **C. Project Management**

Applicants are strongly encouraged to designate an individual who will serve as the coordinator of the grant process. It is recommended that this individual be someone with sufficient knowledge, experience and authority within the jurisdiction to convene the team and manage the work process. Applications will be assessed for their viability on this basis; thus applicants should describe this individual in some detail and demonstrate their ability to serve in this capacity, both in terms of their skill and their time availability. Applicants can allocate a portion of their budget for this individual.

## SECTION IV. DATA COLLECTION EXPECTATIONS

---

---

### A. Goals

All grantees must identify a research coordinator who will serve as an active, ongoing member of the project team and must agree to undertake a dynamic data collection and analysis process. The data collection effort will guide the grantee in their work and contribute to the establishment of a larger body of knowledge through the synthesis of information across sites. This cross-site data collection effort will be coordinated by CSOM. Project sites will assume the role of “learning centers,” contributing to the larger body of knowledge on sex offender management approaches through the collection of common data across sites.

The goals of the data collection effort within each site are:

- To provide to the grantees, throughout the course of the project, information and data on target populations, needs, and outcomes; and
- To institutionalize the capacity, within each participating jurisdiction, to continue this work beyond the grant period.

The goals of the cross-site data collection effort are:

- To build an information base, including data elements common among each project site, on the variety of approaches to sex offender management in use around the country; and
- To begin to assess the impact of these approaches from a local and national perspective.

### B. Definition of Research Coordinator

The role of the research coordinator is:

- To assist the team’s work by developing and implementing methods to gather and analyze data to inform the policy development and planning process;
- To challenge the thinking of teams as they consider various approaches to sex offender management and the assumptions and hypotheses underpinning these;

- To build a local infrastructure for the ongoing monitoring and evaluation of policies and practices; and
- To become a working partner with other participating project sites in the collection of cross-site data.

### **C. Qualifications of the Research Coordinator**

The role of research coordinator may be filled in several ways, including the designation of an existing or new staff person, the hiring of a consultant, or by accessing a local university affiliate. The research coordinator should be an active and vital member of the collaboration team and have sufficient time to serve in this capacity. Further, the research coordinator must have the technical abilities to carry out this role, with experience in social science data collection, research methods and evaluation design. An individual whose typical duties provide him/her with an opportunity to conduct system wide analysis is best suited to fill this role. The specific individual identified in the application to fill this role, or the process outlined within the application to identify such an individual, will be carefully considered in the application review process.

### **D. Planning Grants**

**Purpose** – Planning grantees will be required to identify and work with a research coordinator as an active member of the project team. This individual's role will be to:

1. Collect data to document the implementation of a collaborative planning process; and
2. Collect common information about the offender population in their jurisdiction.

Planning grantees will be required to describe the activities of their planning process, their successes, and their challenges through the progress reporting process and a final project summary report. Further, planning grantees will be required to participate in structured interviews conducted by CSOM project staff at designated intervals throughout the grant period to monitor the collaborative planning process.

### **E. Implementation/Enhancement Grants**

**Purpose** – Implementation/Enhancement grantees will be required to identify and work with a research coordinator as an active member of the project team. Implementation/Enhancement grantees will also be required to participate in a structured data collection process to be coordinated by

CSOM, involving the collection of specified data elements standardized across all sites for the purposes of gathering and synthesizing information on the delivery of sex offender management services and their outcomes. It is anticipated that this data will be useful in three regards:

- The data will inform the participating jurisdiction about their activities, the outcomes of those activities, and future planning needs;
- The data will assist in developing descriptions of a range of sex offender management strategies in use across the country; and
- The data collection process will build the local capacity of the participating jurisdiction to conduct ongoing monitoring and analysis of sex offender management strategies over the lifetime of these initiatives.

#### **F. Type of Data Collection**

To enable participating jurisdictions to gain a better understanding of their sex offender management approaches, and to assist CSOM in understanding the state of practice across a wide number of jurisdictions, grantees will be required to collect a variety of data. These data will include:

1. Information on the numbers and types of sex offenders flowing through the criminal justice system, the disposition of their cases, and the outcomes of various interventions. These data will be collected at specific intervals (such as at the point of intake, intervention, and post-intervention).
2. Offender background data (such as prior criminal justice contacts and treatment interventions) will be required. These data will be collected from individual contacts as well as from official records. Additional information may be collected on site-specific programmatic activities where warranted.

**CSOM Assistance** – CSOM will be coordinating the efforts of all grantees as they participate in the structured data collection process. CSOM staff will meet with designated data collection staff from each site at a planning workshop, and on an ongoing basis. At this workshop, grantees will participate in the identification of standard data elements to be collected across jurisdictions. In addition to this initial workshop, research coordinators and site representatives will participate in several technical assistance workshops specifically addressing the design and implementation of the data collection process. These may occur in

combination with, or in addition to, other technical assistance workshops convened for grantees.

**Budgetary Considerations** – While the resources required to carry out this effort are expected to vary by size of the jurisdiction, applicants are encouraged to assume that this effort will require, at minimum, the designation of one half-time person.

Grantees will be expected to devote sufficient staff resources from grant funds to successfully participate in the data collection effort. Applicants should set aside travel funds for two staff to travel to Washington, D.C., for three planning meetings of a two day duration over the course of the 18 month grant period. Two of these workshops will be combined with the other workshops described in the application. The third event will be strictly focused on the data collection effort.

## **SECTION V. GRANT CATEGORY CHECKLIST**

---

---

Before developing an application, applicants must consider their eligibility (as described in Section II) and suitability for this program (as described in Section III). In addition, applicants should consider the following criteria to determine which grant category is the most appropriate.

Applicants eligible for a Planning Grant must:

- ❑ Have support from within their own criminal justice system and a commitment to participate in such an initiative;
- ❑ Have assembled a multidisciplinary team of stakeholders in the jurisdiction who are committed to improving sex offender management practices;
- ❑ Have the cooperation of these and other key stakeholders to examine current practices and consider their enhancement;
- ❑ Have in place or be able to establish a core group of individuals who are or will become the collaboration team. This team must be committed to active, consistent participation in the planning process;
- ❑ Have a commitment to learn from the data collection and analysis process; and
- ❑ Have a commitment to the ongoing monitoring and refinement of activities through the team process, and the reporting of these activities through progress reports and a final project report, documenting the planning process.

Applicants eligible for an Implementation/Enhancement Grant must:

- ❑ Meet all the above criteria, plus;
- ❑ Have already participated in a strategic planning process, and have identified specific needs and their implementation strategies or strategies to enhance existing approaches;
- ❑ Have clear indication that collaboration has been in place and demonstrate their commitment to continue it;
- ❑ Have identified the jurisdiction's current needs, and can translate those

- needs into clearly articulated goals and objectives;
- Have support from within their jurisdiction to expand their current initiatives;
  - Have a commitment to enhancing current efforts through the addition of new resources, such as funds, staff, equipment, and technical assistance;
  - Have an approach to collecting data on the sex offender population, and the management of sex offenders; and
  - Have a commitment to participate in a national data collection process.

***Planning Grantees, turn to Section VI to complete the application.***

***Implementation/Enhancement Grantees, turn to Section VII to complete the application.***

## SECTION VI. PLANNING GRANT APPLICATION CONTENT

*Attention: If you are applying for an Implementation/Enhancement Grant, stop and turn to Section VII to complete the application specific for that category of grants.*

---

---

**Specifications:** All submitted application pages must be double-spaced, typed on only one side of an 8 ½ X 11 inch white paper. Margins must be one inch, and the type must be 12 point, 12 characters per inch.

1. **Application for Federal Assistance (SF-424) (Appendix A):** For purposes of the SF-424, the Catalog of Federal Domestic Assistance for this Program is 16.591 and the title is *Comprehensive Approaches to Sex Offender Management Grant Program*. A sample application form is included in Appendix A.
2. **Summary Data Sheet:** On one page, provide complete contact information for your agency (including the name of the application coordinator) and indicate that the application is for a Planning Grant.
3. **Abstract:** On one page, provide a summary describing the proposed planning process and how it would fit into your overall strategy to create a comprehensive sex offender management program. Describe the members of the collaborative team.
4. **Program Narrative:** The Program Narrative should be no longer than necessary, but should in no case exceed fourteen (14) pages. The Program Narrative should include the following information:
  - a. **Need for the Project (not to exceed two pages):** Describe the problem to be addressed by this project. State the reason why your jurisdiction should be selected to participate in this initiative, and what motivated your jurisdiction to apply for this grant. Justify why this is an important and critical issue to your jurisdiction. Describe the volume and type of sex offending cases in your jurisdiction. This section should also justify why the Planning Grant is the most appropriate grant category for your jurisdiction.
  - b. **Jurisdiction Specifications (not to exceed two pages):** Describe the community in which the proposed program would take place, including location, population, the nature of the jurisdiction (rural, urban, etc.), and other relevant demographic information.
  - c. **What Will Be Done (not to exceed five pages):** This section should address several matters. First, provide evidence of your

commitment to the strategic planning process. Describe the efforts of the collaboration team in this planning process (how often the team would meet, etc.). Second, provide a clear description of the goals and objectives of your proposed project, focusing on the specific tasks and activities necessary to implement such a proposal. All applications should include a timeline to address the timing of specific tasks and activities over the eighteen months of the project. This timeline may be attached as an appendix.

- d. Who Will Implement the Project (not to exceed three pages):** This section must address several matters. First, this section must indicate the designated agency responsible for the implementation of the proposed program. Second, this section must reference the collaboration team (described in Section II-B) and fully describe the relationship of the collaborating agencies. Third, a Memorandum of Understanding must be included as an appendix to the application to document the applicant's commitment to collaboration. An example of such a Memorandum can be found in Appendix E. Finally, this section must address the staffing/management structure that is or will be in place to enhance the likelihood of the project's success (see Section III-C for additional information). This section should also address the staff person who will be responsible for the collection and analysis of this data (see Section IV-B,C for additional information).
- e. Related Federal Projects (not to exceed two pages):** To facilitate better coordination among other Federal agencies, each applicant must show how the proposed project would complement other initiatives supported with Federal funds. Applicants are required to provide the following information in the application:
- 1.) A list of active Federal grant awards (from the Department of Justice or otherwise) already supporting this or related efforts<sup>1</sup>, including the program/project title; the Federal grantor agency; the Federal award amount; and a very brief description of its purpose;
  - 2.) Information on any pending application/s for Federal money for this or related efforts; and

---

<sup>1</sup> *Related efforts* is defined for these purposes as for:

- the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants);
- another phase or component of the same program/project (e.g., to implement a planning effort funded by other Federal monies); and/or
- providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in this application.

3.) How these would be coordinated with the funding sought through this application.

5. **Budget:** Each application must include a detailed budget and budget narrative for the project. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis for the computation of all project-related costs. It should cover the cost of all components of the project and clearly identify costs attributable to the project evaluation. There must be a clear link between the proposed activities and the proposed budget items. Match is not required for the grant program, but applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both; however, do not include match contributions in the budget or budget narrative. Consultant rates in excess of \$450 per day require prior approval by the Violence Against Women Office. A budget Detail Worksheet and Sample Budget Detail Worksheet have been included in Appendix D for your use. The budget should describe clearly:
- a. The proposed amount and uses of grant funds over the grant period; and
  - b. How the amounts of the specific budget items were determined.

Applicants must budget funds to bring the collaboration team to Washington, D.C. twice for a three-day duration over the course of the project period. The budget should identify these team members and budget for them accordingly. These project meetings will be team-based events. Teams proposed for these workshops should be representative and complete, but not excessive. As previously stated, the same team members must attend both workshops.

In addition, applicants must set aside travel funds for two staff to travel to Washington, D.C., for one additional planning meeting of a two-day duration over the course of the 18-month grant period for data collection purposes.

6. **Assurances:** (Form 4000/3) (Appendix B).
7. **Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** (Form 4061/6) (Appendix C).
8. **Non-Supplantation Letter:** A letter certifying that no supplantation of non-Federal funds will take place should a grant award be made (see *Administrative Requirements - Grant Funds Must Supplement and Not*

*Supplant*) must accompany the application as an attachment. Appendix F has a sample of such a letter.

- 9. Signatures:** Each form in the Appendices must be signed by a duly authorized government official.

## SECTION VII. IMPLEMENTATION/ENHANCEMENT GRANT APPLICATION CONTENT

*Attention: If you are applying for a Planning Grant,  
stop and turn to Section VI to complete the application specific for that category of grants.*

---

---

**Specifications:** All submitted application pages must be double-spaced, typed on only one side of an 8 ½ X 11 inch white paper. Margins must be one inch, and the type must be 12 point, 12 characters per inch.

1. **Application for Federal Assistance (SF-424) (Appendix A):** For purposes of the SF-424, the Catalog of Federal Domestic Assistance for this Program is 16.591 and the title is *Comprehensive Approaches to Sex Offender Management Grant Program*. A sample application form is included in Appendix A.
2. **Summary Data Sheet:** On one page, provide complete contact information for your agency (including the name of the application coordinator) and indicate that the application is for an Implementation/Enhancement Grant.
3. **Abstract:** On one page, provide a summary describing the proposed project and how it would fit into your overall strategy to create a comprehensive sex offender management program. Describe the members of the collaborative team.
4. **Program Narrative:** The Program Narrative should be no longer than necessary, but should in no case exceed twenty-one (21) pages. The Program Narrative should include the following information:
  - a. **Need for the Project (not to exceed two pages):** Describe the problem to be addressed by this project. State the reason why your jurisdiction should be selected to participate in this initiative, and what motivated your jurisdiction to apply for this grant. Justify why this is an important and critical issue to your jurisdiction. Describe the volume and type of sex offending cases in your jurisdiction. This section should also justify why the Implementation/Enhancement Grant is the most appropriate grant category for your jurisdiction.
  - b. **Jurisdiction Specifications (not to exceed eight pages):** Describe the community in which the proposed program would take place, including location, population, the nature of the jurisdiction (rural, urban, etc.), and other relevant demographic information. Describe the basic components of your current sex offender

management program. Describe your sex offender supervision and treatment programs. Detail how the programs are accessed, the eligibility requirements, the nature of the relationship between organizations, how the program is funded, confidentiality issues, underlying goals and purposes of the approach, and how risk level is assessed for the purposes of supervision. Address the strengths of the current approach, detailing how victim safety and offender accountability are enhanced as a result. Also address the existing gaps in your approach that diminish your capability to manage sex offenders effectively.

- c. What Will Be Done (not to exceed six pages):** This section should address several matters. First, demonstrate that strategic planning around the issue of sex offender management has already occurred, and provide evidence of your commitment to continue the strategic planning process. Describe the efforts of the collaboration team in this planning process (how often the team has met and will meet, etc.) Second, provide a clear description of the goals and objectives of your proposed project, focusing on the specific tasks and activities necessary to implement such a proposal. All applications should include a timeline to address the timing of specific tasks and activities over the eighteen months of the project. This timeline may be attached as an appendix. Third, this section must describe the criteria that would be used to document the program's outcomes. Describe the current data system, including a description of the internal capability for programming, writing reports, and doing analyses. This section should also articulate the proposed data collection and analysis techniques. The data collection effort should be designed to provide an objective assessment of the activities performed.
- d. Who Will Implement the Project (not to exceed three pages):** This section must address several matters. First, this section must indicate the designated agency responsible for the implementation of the proposed program. Second, this section must reference the collaboration team (described in Section II-B) and fully describe the relationship of the collaborating agencies. Third, this section must provide documentation of the collaboration that has previously occurred around the topic of sex offender management. Reference all of the regular team members, and provide concise, specific examples of the outcomes of your work together on this issue (samples of products, meeting minutes, etc.). These examples may be attached to the application as appendices. A Memorandum of Understanding must be included as an appendix to the application to document the applicant's commitment to collaboration. An example of such a Memorandum can be found in

staffing/management structure that is or will be in place to enhance the likelihood of the project's success (see Section III-C for additional information). This section should also address the staff person who will be responsible for the collection and analysis of this data (see Section IV-B,C for additional information).

- e. Related Federal Projects (not to exceed two pages):** To facilitate better coordination among other Federal agencies, each applicant must show how the proposed project would complement other initiatives supported with Federal funds. Applicants are required to provide the following information in the application:
- 1.) A list of active Federal grant awards (from the Department of Justice or otherwise) already supporting this or related efforts<sup>1</sup>, including the program/project title; the Federal grantor agency; the Federal award amount; and a very brief description of its purpose;
  - 2.) Information on any pending application/s for Federal money for this or related efforts; and
  - 3.) How these would be coordinated with the funding sought through this application.

**5. Budget:** Each application must include a detailed budget and budget narrative for the project. The budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis for the computation of all project-related costs. It should cover the cost of all components of the project and clearly identify costs attributable to the project evaluation. There must be a clear link between the proposed activities and the proposed budget items. A 25% match is required for this grant program. Contributions may be cash, in-kind services, or a combination of both. Consultant rates in excess of \$450 per day require prior approval by the Violence Against Women Office. A budget Detail Worksheet and Sample Budget Detail Worksheet have been included in Appendix D for your use. The budget should describe clearly:

- a. The proposed amount and uses of grant funds over the grant period; and
- b. How the amounts of the specific budget items were determined.

---

<sup>1</sup> *Related efforts* is defined for these purposes as for:

- the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants);
- another phase or component of the same program/project (e.g., to implement a planning effort funded by other Federal monies); and/or
- providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in this application.

Applicants must budget funds to bring the collaboration team to Washington, D.C. twice for a three-day duration over the course of the project period. The budget should identify these team members and budget for them accordingly. These project meetings will be team-based events. Teams proposed for these workshops should be representative and complete, but not excessive. As previously stated, the same team members must attend both workshops.

In addition, applicants must set aside travel funds for two staff to travel to Washington, D.C., for one additional planning meeting of a two-day duration over the course of the 18-month grant period for data collection purposes.

6. **Assurances:** (Form 4000/3) (Appendix B).
7. **Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** (Form 4061/6) (Appendix C).
8. **Non-Supplantation Letter:** A letter certifying that no supplantation of non-Federal funds will take place should a grant award be made (*see Administrative Requirements - Grant Funds Must Supplement and Not Supplant*) must accompany the application as an attachment. Appendix F has a sample of such a letter.
9. **Signatures:** Each form in the Appendices must be signed by a duly authorized government official.

## **SECTION VIII. REVIEW PROCESS**

---

---

### **A. Review Panel**

A review panel, consisting of experts and practitioners, will evaluate all applications. The panel will make funding recommendations for those applications which present the greatest likelihood to achieve the proposed goals. Based on the panel recommendations and staff analyses of the applications, the Assistant Attorney General of the Office of Justice Programs will make the final funding decisions.

### **B. Selection Criteria**

The review panel will evaluate all applications on the basis of the following criteria:

- The application clearly exhibits a commitment to collaboration, including meaningful collaboration with nonprofit, nongovernmental victim services organizations;
- The application identifies a problem that is consistent with the statutory purposes of this initiative;
- The application sets forth a program which effectively addresses the problem statement;
- The application convincingly demonstrates that the members of the collaboration team will participate actively in the project, including team meetings, technical assistance, training and workshop events;
- The planning and implementation strategy, timeline, and capability of the organization and staff are sound;
- The project demonstrates meaningful attention to the safety of victims of sex offenses and would hold perpetrators accountable for their criminal behavior;
- The application identifies an individual, or a process to identify an individual, to serve as a research coordinator to the collaboration team, and demonstrates the skill, role and involvement of this partner; and
- The budget is reasonable as it relates to program activities.



**SECTION IX.  
SUBMISSION REQUIREMENTS**

---

---

**A. Letter of Intent**

Receipt of a non-binding letter of intent is strongly encouraged by 5:00 p.m., Eastern Standard Time (EST) on Friday, April 16, 1999. Such a letter should include an applicant's (non-binding) intent to apply for this grant program, the name of the jurisdiction making application and the grant category for which the jurisdiction is applying. Applicants should address the letter of intent in the following way:

**BRENDA HOLLIS, PROGRAM MANAGER  
COMPREHENSIVE APPROACHES TO SEX OFFENDER MANAGEMENT  
LETTER OF INTENT  
VIOLENCE AGAINST WOMEN OFFICE, OFFICE OF JUSTICE PROGRAMS  
810 7<sup>th</sup> STREET, NW  
WASHINGTON, D.C. 20531**

**B. Application Submission**

An unbound original and six copies of the application and all its attachments must be received by 5:00 p.m., EST, on Friday, May 14, 1999.

The application cover should clearly indicate the name of the applicant jurisdiction and the grant category for which the jurisdiction is applying.

Applications received after the close of the business day (5:00 p.m., EST) on Friday, May 14, 1999 will not be considered. Facsimiles or other electronic transmissions will not be accepted. Applications should be addressed in the following way:

**BRENDA HOLLIS, PROGRAM MANAGER  
COMPREHENSIVE APPROACHES TO SEX OFFENDER MANAGEMENT  
GRANT APPLICATION  
VIOLENCE AGAINST WOMEN OFFICE, OFFICE OF JUSTICE PROGRAMS  
810 7<sup>th</sup> STREET, NW  
WASHINGTON, D.C. 20531**

Applicants are responsible for ensuring that their applications are received by the deadline. Extensions of the deadline for any reason will not be granted. Receipt of each application will be acknowledged in writing.



**SECTION X.  
FURTHER INFORMATION**

---

---

**A. Questions About this Grant Program**

Questions regarding this application or any of its content should be directed to:

Brenda Hollis  
Program Manager  
Office of Justice Programs  
Violence Against Women Office  
810 7<sup>th</sup> Street, NW  
Washington, DC 20531-0001  
(202) 305-2381  
hollisb@ojp.usdoj.gov - email

**B. CSOM Information**

Applicants interested in learning more about the Center for Sex Offender Management may contact:

Madeline M. Carter  
Project Director  
Center for Sex Offender Management  
c/o Center for Effective Public Policy  
8403 Colesville Road, Suite 720  
Silver Spring, MD 20910  
(301) 589-9383 - phone  
(301) 589-3505 - fax  
cartermm@cepp.com - email



**SECTION XI.**  
**ADMINISTRATIVE REQUIREMENTS FOR APPLICANTS**

---

---

**A. General Requirements**

Single Points of Contact Review: Executive Order 12372 requires applicants from State and local government units 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, if this program has been selected for review by the State. The State Single Points of Contact are listed in Appendix G of this application kit. Applicants must contact their SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC, or the reason such submission is not required, should be entered in block 16 on the *Application for Federal Assistance, SF-424*.

If the SPOC requires a copy of the application, the applicant should still send the original application and six bound copies to the Office of Justice Programs.

1. **Civil Rights Requirements:** All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. Specifically, the statute that governs OJP-funded programs or activities (Section 809(c), Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3789d) prohibits such discrimination, as follows:

No person in any State shall on the ground of race, color, religion, national origin, sex [or disability]\* be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title.

*\* Section 504 of the Rehabilitation Act of 1973 prohibits identical discrimination on the basis of disability.*

If funded, grantees must acknowledge that failure to submit an acceptable Equal Employment Opportunity Plan (if grantee is required to submit one pursuant to 28 CFR 42.302), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in the suspension of the drawdown of funds.

If any court or administrative agency makes a finding of

discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the findings to the OJP Office of Civil Rights.

2. **Eligibility for Employment in the United States:** Organizations funded through this Program must agree to complete and keep on file, as appropriate, the Immigration and Naturalization Service Employment Eligibility Form (I-9). This form is to be used by the recipient of Federal funds to verify that persons employed by the recipient are eligible to work in the United States.

## **B. Financial Requirements**

1. **Grant Funds Must Supplement and Not Supplant:** A written certification in the form of a letter to the Assistant Attorney General of the Office of Justice Programs from the applicant's authorizing official must be included in the application package. The letter must certify that federal funds will be used to supplement existing funds and not replace funds that have been appropriated for the same purpose. For example, if a grantee, prior to submitting an application, had committed to develop and implement a program, then the grantee must make those dollars available in addition to those requested under this Program. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds. The nonsupplantation requirement applies only to State and local public agencies; it does not apply to nonprofit, nongovernmental victim services programs.
2. **Audit Requirement:** State and Local Government and Non-Profit Organizations are now governed by OMB Circular A-133, titled "Audits of States, Local Governments and Non-Profit Organizations." In July 1996, the President signed an amendment to the Single Audit Act of 1984 which (1) mandates one audit circular for both State and local governments, institutions of higher education, and other non-profit organizations; (2) raises the audit threshold for all entities to \$300,000 of federal funds expended (this requirement is effective for audits conducted of fiscal years beginning on or after July 1, 1996); and (3) requires the submission of the audit report within nine (9) months from the end of the audit cycle (this requirement is effective for audits conducted of fiscal years beginning on or after July 1, 1998).

3. **Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement:** Applicants should review and sign the certification form included in this application kit after carefully reading the instructions provided with the forms. Signing this form commits the applicants to compliance with the certification requirements under 28 C.F.R. Part 69, "New Restrictions on Lobbying," and 28 C.F.R. Part 67, "Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants)." The certification will be treated as a material representation of fact upon which reliance will be placed by the U.S. Department of Justice in awarding grants.
4. **Suspension or Termination of Funding:** The Office of Justice Programs may suspend, in whole or in part, terminate funding for, or impose another sanction on a grantee for the following reasons:
- Failure to comply substantially with the requirements or statutory objectives of the Violent Crime Control and Law Enforcement Act of 1994, program guidelines issued thereunder, or other provisions of Federal law;
  - Failure to make satisfactory progress toward the goals or strategies set forth in this application;
  - Failure to adhere to the grant requirements, standard conditions or special conditions;
  - Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
  - Failure to submit reports; or
  - Filing a false certification in this application or other report or document.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the grantee of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations in 28 C.F.R. part 18.



**SECTION XII.**  
**REPORTING REQUIREMENTS FOR APPLICANTS**

---

---

**A. Reporting Requirements**

1. **Progress Reports:** Reports are prepared twice a year and are used to describe the performance of activities or the accomplishment of objectives as set forth in the approved award application. Progress reports must be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31 for the life of the award. The awarding agency may opt, by special condition to the award, to combine the first report into the subsequent reporting period. For example, if the begin date on the award is June 1, the awarding agency may opt to receive the first report 30 days after the December 31 reporting period.

A final report, which provides a summary of progress toward achieving the goals and objectives of the grant, significant results, and any products developed under the grant, is due 90 days after the end date of the grant. Report forms will be provided to the grantee by the Office of Justice Programs.

2. **Financial Status Reports:** Financial status reports (SF 269A) are due quarterly on the 45<sup>th</sup> day following the end of each calendar quarter. A report must be submitted for every quarter the award is active. The Office of the Comptroller will provide a copy of this form in the initial award package. In lieu of using the SF 269A report, recipients may satisfy the financial reporting requirements by completing the Financial Status Report Turnaround Document. This document is a facsimile of the SF 269A report created with information extracted from the awarding agency's computer files. The Office of the Comptroller sends this document directly to each grantee. If a "Turnaround Document" is not received, the SF 269A must be submitted by the due date.

Future awards and fund drawdowns may be withheld if the progress, financial and audit reports are delinquent.

# *Application Forms*

# APPLICATION FOR FEDERAL ASSISTANCE

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

**5. APPLICANT INFORMATION**

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

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

<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> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-bottom: 5px;"></div>	<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="width:50%; border-bottom: 1px solid black;">Start Date</td> <td style="width:50%; border-bottom: 1px solid black;">Ending Date</td> </tr> </table>	Start Date	Ending Date	<b>14. CONGRESSIONAL DISTRICTS OF:</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; border-bottom: 1px solid black;">a. Applicant</td> <td style="width:50%; border-bottom: 1px solid black;">b. Project</td> </tr> </table>	a. Applicant	b. Project
Start Date	Ending Date				
a. Applicant	b. Project				

<b>15. ESTIMATED FUNDING:</b> <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:15%; border-bottom: 1px solid black;">a. Federal</td> <td style="width:15%; border-bottom: 1px solid black;">\$</td> <td style="width:15%; border-bottom: 1px solid black;"></td> <td style="width:15%; border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">b. Applicant</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">c. State</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">d. Local</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">e. Other</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">f. Program Income</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">g. TOTAL</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> </table>	a. Federal	\$		.00	b. Applicant	\$		.00	c. State	\$		.00	d. Local	\$		.00	e. Other	\$		.00	f. Program Income	\$		.00	g. TOTAL	\$		.00	<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 Completion of the Application for Federal Assistance (SF 424)

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

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

## ASSURANCES

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

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

---

Signature

---

Date



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

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

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

### 1. LOBBYING

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

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

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

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

---

---

---

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

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

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

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

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

---

# Disclosure of Lobbying Activities

Approved by OMB 0348-0046

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

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

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
---	---	--

<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee      Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime:</b>   Congressional District, if known: _____
---	---

<b>6. Federal Department/Agency:</b>  _____	<b>7. Federal Program Name/Description:</b>  _____  CFDA Number, if applicable: _____
---	---

<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____
---	---

<b>10a. Name and Address of Lobbying Registrant</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):  _____
---	---

<b>11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	Signature: _____  Print Name: _____  Title: _____  Telephone No.: _____      Date: _____
---	--

---

## Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

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

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

### Budget Detail Worksheet

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

---

---

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

**Name/Position**

**Computation**

**Cost**

**TOTAL** \_\_\_\_\_

---

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

<b>Name/Position</b>	<b>Computation</b>	<b>Cost</b>
----------------------	--------------------	-------------

**TOTAL** \_\_\_\_\_

**Total Personnel & Fringe Benefits** \_\_\_\_\_

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

<u><b>Purpose of Travel</b></u>	<u><b>Location</b></u>	<u><b>Item</b></u>	<u><b>Computation</b></u>	<u><b>Cost</b></u>
---------------------------------	------------------------	--------------------	---------------------------	--------------------

**TOTAL** \_\_\_\_\_

**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
-------------	--------------------	-------------

---

**TOTAL** \_\_\_\_\_

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

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

---

**TOTAL** \_\_\_\_\_

---

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

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

---

**TOTAL** \_\_\_\_\_

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

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

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

Subtotal \_\_\_\_\_

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

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

Subtotal \_\_\_\_\_

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

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

Subtotal \_\_\_\_\_

**TOTAL** \_\_\_\_\_

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

Description	Computation	Cost
		<b>TOTAL</b> _____

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

Description	Computation	Cost
		<b>TOTAL</b> _____

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

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

## INSTRUCTIONS

### PROGRAM NARRATIVE

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

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

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

#### 2. RESULTS OR BENEFITS EXPECTED.

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

#### 3. APPROACH.

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

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

#### 4. GEOGRAPHIC LOCATION.

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

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

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

---

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, N.W., Washington, DC 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.

# Privacy Certificate Guidelines

The following summarizes 28 CFR 22.23 and should be used as a guideline in completing the Privacy Certificate.

1. Data identifiable to a specific individual will not be used or revealed unless it is research or statistical information being used for research and statistical purposes.
2. It may be used or revealed on a “need to know” basis to:
  - a. Officers, employees, and subcontractors of the recipient of the assistance.
  - b. Persons or organizations may receive transfers of information for research and statistical purposes only if an information transfer agreement is entered into in which the recipient is bound to use the information only for research and statistical purposes and must take adequate administrative and physical precautions to ensure the confidentiality of the information.
3. Employees with access to data on a need-to-know basis will be advised in writing of the requirement of confidentiality of identifiable research and statistical information and will agree to abide by this requirement in writing.
4. Subcontracts requiring access to identifiable data will do so according to an *information transfer agreement* that sets out the confidentiality of the information and the requirement that it may only be used for research or statistical purposes.
5. Private persons from whom identifiable data is obtained or collected shall be advised either orally or in writing that the data will only be used for research or statistical purposes and that compliance with requests for information is not mandatory. If the notification requirement is to be waived, an explanation must be given on or attached to the Privacy Certificate.

6. Adequate precautions must be taken to ensure administrative and physical security of identifiable data.
7. A log indicating that identifiable data has been transferred to persons other than National Institute of Justice staff, or grantee/contractor staff or subcontractors of other Office of Justice Programs Bureaus, shall be maintained and will state whether such data has been returned or if alternative arrangements have been made for future maintenance of such data.
8. Project plans will be designed to preserve the anonymity of persons to whom the information relates, including, where appropriate, name-stripping, coding of data, or other similar procedures.
9. Project findings and reports prepared for dissemination will not contain information that can reasonably be expected to be identifiable to a private person.
10. Upon completion of a research or statistical project, the security of research or statistical information shall be protected by either:
  - a. Complete physical destruction of all copies of the materials or the identifiable portions of the materials after a 3-year required recipient retention period or as soon as authorized by law; or
  - b. Removal of identifiers from data and separate maintenance of a name-code index in a secure location.If you choose to keep a name-code index, you must maintain procedures to secure such an index.
11. Privacy Certificates must be signed and dated by the Principal Investigator(s) and included as part of the application submission.

# Privacy Certificate

(Sample Format)

The grantee \_\_\_\_\_ agrees to provide administrative and physical security of identifiable data and to preserve the anonymity of individuals and of agencies or departments of Federal, State, or local governments participating in this research. To comply with this regulation, the following elements are incorporated into the grant application or contract proposal.

Brief description of project:

Procedures developed to preserve anonymity:

Procedures for storing data:

Access to data is limited to the following individuals:

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

Project Staff: \_\_\_\_\_

Subcontractors: \_\_\_\_\_

Disposition of data will occur in the following manner:

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

Project personnel, including subcontractors, have been advised of these procedures and have agreed in writing to comply with all procedures to safeguard privacy and confidentiality.

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

\_\_\_\_\_

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

(Applicant Letterhead)

City of Anycity  
Memorandum of Understanding:  
Sex Offender Management

Date

Recognizing the need to enhance public safety, prevent further victimization, and improve the effective management of sex offenders in the community, we the undersigned, join together in a collaborative effort to establish a “sex offender management” team.

The mission of this team will be to develop and oversee the implementation of a comprehensive strategic plan to address the issue of sex offender management in our community. The strategic plan will further our goal of enhancing public safety and preventing future victimization. This will be accomplished through a commitment to collaboration with all individuals and organizations in a position to influence or be affected by sex offender management.

Objectives of this team shall include (but are not limited to) the following initiatives:

- Scheduling and attending meetings that address the issues related to sex offender management under community supervision;
- Developing and refining a clearly articulated mission, set of goals, and objectives of the team;
- Developing and monitoring a work plan that reflects the activities of the team;
- Developing strategies around the exchange of information regarding sex offender management between the collaborating agencies;
- Articulating a clear set of jurisdictional goals around the management of sex offenders in our community, that will guide our policies and practices;
- Evaluating official and unofficial policies that apply to the management of sex offenders under community supervision;
- Evaluating the current devotion of resources and services to this issue and evaluating overlaps and gaps in resources and services;
- Coordinating efforts within the jurisdiction (state, local, or tribal) to improve the effectiveness and efficiency of sex offender management; and
- Engaging in an active effort to collect data and other information about our offender population, and using this information to guide our efforts.

The following personnel have been identified as the primary agency contacts for this team:

John Doe, Title

Jane Day, Title

Jim Dart, Title

Sincerely,

---

Joe Smith, Title, Agency

---

Sue Jones, Title, Agency

---

Pat Dome, Title, Agency

cc: Agencies and Interested Parties

(Applicant Letterhead)

Date

Ms. Laurie Robinson  
Assistant Attorney General  
Office of Justice Programs  
810 7<sup>th</sup> Street, NW  
6<sup>th</sup> Floor  
Washington, DC 20531

Dear Ms. Robinson:

[Applicant] certifies that any funds awarded through the *Comprehensive Approaches to Sex Offender Management Grant Program* will be used to supplement existing funds for program activities, and will not replace (supplant) non-Federal funds. [Applicant] understands that supplantation violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

Sincerely,

Applicant's Authorizing Official