

129393

U.S. Department of Justice  
Office of Justice Programs  
*Office for Victims of Crime*



# Office for Victims of Crime

129393

**FY 1991 DISCRETIONARY PROGRAM  
APPLICATION KIT**

U.S. Department of Justice  
Office of Justice Programs  
*Office for Victims of Crime*

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## Office for Victims of Crime

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# Discretionary Program Application Kit

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National Institute of Justice

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APRIL 1991

**U.S. Department of Justice  
Office of Justice Programs  
Office for Victims of Crime**

**U.S. Department of Justice**

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*The Assistant Attorney General, Office of Justice Programs, coordinates the activities of the following program Offices and Bureaus: Office for Victims of Crime, Office of Juvenile Justice and Delinquency Prevention, Bureau of Justice Assistance, Bureau of Justice Statistics, and National Institute of Justice.*

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# Introduction

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The Office for Victims of Crime (OVC) serves as the Federal focal point for addressing the needs and improving the treatment of crime victims. This includes carrying out activities mandated by the Victims of Crime Act (VOCA) of 1984, as amended, monitoring compliance with the provisions of the Victim and Witness Protection Act of 1982, as well as implementing the recommendations of the President's Task Force on Victims of Crime, the Attorney General's Task Force on Family Violence, and the President's Child Safety Partnership.

VOCA established the Crime Victims Fund (the Fund) in the U.S. Treasury to provide financial assistance to victim compensation programs and to improve both public and private sector services for victims of crime. VOCA also provides funds for training and technical assistance and helping victims of Federal crimes. It is significant to note that criminals, not innocent taxpayers, provide money for the Fund. The principal sources of funding are criminal fines collected from convicted Federal defendants, special penalty assessments, forfeitures and literary profits.

VOCA, as amended by the Children's Justice and Assistance Act of 1986 (CJA), Pub. L. No. 99-401, and by the Anti-Drug Abuse Act of 1988, Title VII, Subtitle D, of the Pub. L. No. 100-690, was reauthorized through September 30, 1994. As President Bush and Attorney General Thornburgh are dedicated to further improving the Nation's response to victims of crime and to restoring balance to the criminal justice system, the Administration continues to support funding for victims programs authorized under VOCA.

The Crime Control Act of 1990 increased the ceiling of deposits into the Fund to \$150 million in Fiscal Years 1991-94. Money deposited in the Fund is made available in the following manner: Of the first \$100 million deposited in the Fund, 49.5 percent is available for State victim compensation program grants; 45 percent is available for State victim assistance program grants; 1 percent is available for support of services for victims of Federal crimes of which .5 percent may be used for training and technical assistance projects for eligible victim assistance programs; and 4.5 percent is available under the provisions of the CJA. Of the 4.5 percent made available to the Department of Health and Human Services (DHHS) to improve the investigation and prosecution of child abuse, especially child sexual abuse cases, 15 percent is set aside, and administered by OVC, for assisting Native American tribes in developing and operating programs designed to improve the handling of child sexual abuse cases for Indian country.

The next \$5,500,000 deposited in the Fund, above the first \$100 million, is used to fund CJA grants. Deposits in excess of \$105,500,000, but not in excess of \$110 million, are available for victim assistance program grants. Of deposits in excess of the \$110 million and up to the \$125 million available in FY 1991, 47.5 percent is used to fund victim compensation programs grants, 47.5 percent is used to fund victim assistance program grants, and 5 percent is used to provide services to Federal crime victims. The first \$2.2 million in collections above the legislative cap is made available to the Administrative Office of the U.S. Courts to carry out the collection of criminal fines and penalty assessments. Approximately \$125 million will be available for victim service programs in 1991. To date, nearly \$424 million has been made available to States and territories to aid crime victims across the Nation.

The 1990 Crime Control Act contains 3 new statutes which demonstrate the continuing nationwide concern for innocent victims of crime: the Victims of Child Abuse Act of 1990, which includes extensive amendments to the criminal code affecting the treatment of child victims; the Child Protection, Restoration and Penalties Enhancement Act of 1990, which contains recommendations for increased sentences for sexual abuse of minors according to the level of mistreatment and broadens child pornography laws; and the Victims Rights and Restitution Act of 1990, which creates, in effect, a Federal Crime Victims' Bill of Rights and codifies services to victims in order to ensure that crime victims are treated with compassion, respect and dignity throughout the criminal justice system.

OVC has received funds through interagency transfer from DHHS under the Child Abuse Prevention, Adoption, and Family Services Act of 1988, as well as support for crime victims initiatives from the Bureau of Justice Assistance (BJA). OVC and BJA will jointly award and monitor the programs announced under the authority of the two agencies.

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# Application and Administrative Requirements

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## Eligible Applicants

Applications are invited from public and private organizations. Private-for-profit organizations must waive their fees in order to be eligible.

Each applicant must demonstrate that it has the management and financial capability to effectively implement a project of the size and scope delineated in the program description. Each applicant must also demonstrate the capability to manage the program in order to be eligible for funding consideration.

Many programs are announced on a competitive basis and are open to all eligible applicants. Eligibility for continuation programs is limited to specified organizations. To assist the reader in identifying programs for which they may be eligible to apply, this Application Kit is organized into two sections: A Competitive section and a Continuation section. Interested parties should read carefully the program eligibility and selection criteria.

Competitive Programs: These programs are open to a broad range of organizations. Awards will be made to organizations/agencies that offer the greatest potential for achieving the objectives outlined in the description of each program. Selections will be made on the basis of the information contained in the applications received. All applications will be reviewed and rated by a panel of experts in the program areas.

Continuation Programs: These programs are limited to specific applicants who have previously received at least one year of funding and the program is a multi-year effort. Most of these grantees were selected initially through a competitive process. Many of these grantees are national associations which provide assistance and training to their membership and related constituency groups made up of State and/or local practitioners.

## Application Requirements

All applicants must submit a completed Application for Federal Assistance (Standard Form 424), including a program narrative, a detailed budget, and budget narrative. All applications must include the information outlined in this section of the Application Kit.

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

Applicants who have not previously received Federal funds are asked to submit a copy of the Office of Justice Programs Accounting System and Financial Capability Questionnaire (OJP Form 7120/1). Copies of this form are provided in this Application Kit and must be prepared and submitted along with the application. Other applicants may be requested to submit this form. The CPA certification is required only of those applicants who have not previously received Federal funding.

An original and two copies of the application are required. To facilitate the review of the applications, three additional copies are requested. Applications and copies must be sent to the following address:

"1991 Programs"  
Office for Victims of Crime  
Office of Justice Programs  
633 Indiana Avenue, N.W.  
Washington, D.C. 20531

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Applications must be postmarked as indicated by the individual program due date.

### **Application Content and Review Criteria**

In completing Standard Form 424, all of the following items must be addressed as they will be reviewed during the selection process:

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

**Soundness of Proposed Strategy:** There are two elements that must be addressed in formulating a sound strategy. These are:

- o A succinct statement of the applicant's understanding of the **Goals and Objectives** of the program including a discussion of the potential contribution of this program to the field.
- o The proposed **Program Strategy** for achieving these goals, objectives and their major elements, products and activities of the programs.

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

**Program Budget:** Applicants must provide a budget with a detailed justification for all costs, including the basis for computation of these costs. In the case of co-applicants, detailed budgets for each organization's expenses must be submitted. The program budget must be complete, reasonable and cost-effective in relation to the proposed program.

**Qualifications of the Program Staff:** Applicants must fully describe the capabilities and work experience of staff, and their relationship to the requirements of the program being undertaken must be clearly demonstrated.

**Selection Criteria:** Selection criteria are specified within each program announcement.

### **Review Process**

**Competitive Applications:** Applications submitted in response to a competitive announcement will be reviewed by a panel of experts, who will make recommendations to the Director of OVC for funding. The panel will assign numerical values by rating competing applicants based on the point distribution identified in the **Selection Criteria** section of each program description in this publication. The final award decision will be made by the OVC Director. Letters will be sent to all applicants notifying them that their proposal has been selected or not selected. OVC will negotiate specific terms of the awards with the selected applicants.

**For All Others:** Some awards will be negotiated directly with current grantees to continue program activities or with the designated organizations that are uniquely qualified to provide specific services.



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### **Financial Requirements**

Discretionary Grants are governed by the provisions of the Office of Management and Budget (OMB) Circulars applicable to financial assistance. The circulars, along with additional information and guidance, are contained in the "Financial and Administrative Guide for Grants," Office of Justice Programs, Guideline Manual, M7100, available from the Office of Justice Programs. This guideline manual includes information on allowable costs, methods of payment, audit requirements, accounting systems and financial records.

### **Civil Rights Requirement**

In accordance with Title VI of the Civil Rights Act of 1964, no person in any State shall on the grounds of race, color, religion, national origin or sex be excluded from participation in, be denied the benefits of, be subjected to discrimination under or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title. Recipients of funds are also subject to the provisions of Sec. 504 of the Rehabilitation Act of 1974, as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1974; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E and G. Applicants shall maintain such records and submit to OVC or OJP, upon request, timely, complete and accurate information regarding their compliance with the foregoing statutory and regulatory requirements.

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

### **Drug-Free Workplace**

Title V, Sec. 5153 of the Anti-Drug Abuse Act of 1988 provides that each grantee of Federal funds, other than an individual, shall certify to the grantor agency that it will provide a drug-free workplace by:

- o Publishing a statement notifying employees that the unlawful manufacturing, distribution, dispensation, 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 violations of such prohibition.
- o Establishing a drug-free awareness program to inform employees about:
  - the danger of drug abuse in the workplace;
  - the grantee's policy of maintaining a drug-free workplace;
  - any available drug counseling, rehabilitation and employee assistance programs; and,
  - the penalties that may be imposed upon employees for drug abuse violations.
- o Making it a requirement that each employee to be engaged in the performance of such grant be given a copy of the statement of notification prohibiting controlled substances in the workplace.
- o Notifying the employee that as a condition of employment in such grant, the employee will:
  - abide by the terms of the statement; and,
  - notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.
- o Notifying the grantor agency within 10 days after receiving notice of a conviction from an employee or otherwise receiving actual notice of such conviction.
- o Imposing a sanction on or requiring the satisfactory participation in a drug abuse assistance or rehabilitation program by any employee who is so convicted.
- o Making a good faith effort to continue to maintain a drug-free workplace.

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The U.S. Office of Management and Budget, in collaboration with other Federal executive agencies, including the Department of Justice, has developed regulations to implement the Drug-Free Workplace Act of 1988, 28 CFR Part 67, Subpart F.

#### **Audit Requirement**

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

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

#### **Governmentwide Debarment and Suspension (Nonprocurement)**

This Subpart of 28 CFR Part 67, provides that executive departments and agencies shall participate in a system for debarment and suspension from programs and activities involving Federal financial and nonfinancial assistance and benefits. Debarment or suspension of a participant in a program by one Agency has governmentwide effect. It is the policy of the Federal Government to conduct business only with responsible persons and these guidelines will assist agencies in carrying out this policy.

Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (OJP Form 4061/6; replaces OJP Forms 4061/2, 4061/3, and 4061/4, which are obsolete). All direct recipient grantees must complete an OJP Form 4061/6 prior to entering into a financial agreement with subrecipients. This requirement includes persons, corporations, etc. who have critical influence on or substantive control over the award. The direct recipient will be responsible for monitoring the submission and maintaining the official subrecipient certifications (OJP Form 4061/1).

#### **Disclosure of Lobbying Activities**

Section 319 of Public Law 101-121 prohibits recipients of Federal contracts, grants and loans from using appropriated funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific contract, grant or loan. Section 319 also requires each person who requests or receives a Federal contract, grant, cooperative agreement, loan or a Federal commitment to insure or guarantee a loan, to disclose lobbying. The term "recipient," as used in this context, does not apply to any Indian tribe or to tribal or Indian organization.

A person who requests a Federal grant, cooperative agreement or contract exceeding \$100,000 is required to file a written declaration with OJP. The declaration shall contain:

- o A certification that addresses payment made or to be made with both Federal or non-Federal funds for influencing or attempting to influence persons in the making of Federal awards.
- o "Disclosure of Lobbying Activities" must be submitted if payments were made with non-Federal funds and must contain the following information with respect to each payment and each agreement:
  - Name and address of each person paid, to be paid or reasonably expected to be paid;
  - Name and address of each individual performing the services for which payment is made, to be made or reasonably expected to be made; and
  - The amount paid, how the person was paid and the activity for which the person was paid, is to be paid or is reasonably expected to be paid.

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- o Copies of certification and disclosure of lobbying activities, as outlined above, received from subgrantees contractors or subcontractors under a grant, cooperative agreement or contract for Federal subgrants exceeding \$100,000.

A subgrantee, contractor or subcontractor under a grant, cooperative agreement or contract, who requests or receives Federal funds exceeding \$100,000 is required to file a written declaration, as described above, with the person making the award.

A declaration must be filed at the end of each calendar quarter in which there occurs any event that materially affects (\$25,000 or more) the accuracy of the information contained in any declaration previously filed for a grant, cooperative agreement, contract, subgrant or subcontract. These declarations shall be filed as follows:

- o Grant, cooperative agreement and contract recipients shall send their amended declarations and copies of amended declarations for Federal subgrants to the Office of the Comptroller not later than 30 days after the end of each calendar quarter.
- o Subgrantees, contractors or subcontractors under a grant, cooperative agreement or contract shall send their amended declarations each quarter to the person who made their subgrant.

Declarations are also required for extensions, continuations, renewals, amendments and modifications exceeding \$100,000 or resulting in the award exceeding \$100,000.

#### **Disclosure of Federal Participation**

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

#### **Suspension or Termination of Funding**

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

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

Prior to suspension of a grant, OVC will provide reasonable notice to the grantee of its intent to suspend the grant and will attempt informally to resolve the problem resulting in the intended suspension. Hearing and appeal procedures for termination actions are set forth in Department of Justice regulations at 28 CFR Part 18.

Non-competitive continuation awards for additional budget periods may also be withheld for justifiable reasons. They include: (1) the results do not justify further activity; (2) the recipient is delinquent in submitting required reports; (3) adequate grantor agency funds are not available to support the project; (4) the recipient has failed to show satisfactory progress in achieving the objectives of the project or otherwise failed to meet the terms and conditions of the award; (5) a recipient's management practices have failed to provide adequate stewardship of grantor agency funds; (6) outstanding audit exceptions have not been cleared; and (7) any other reason that would indicate continued funding would not be in the best interest of the Federal Government.

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# **COMPETITIVE PROGRAM SECTION**

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## FAMILY VIOLENCE LAW ENFORCEMENT TRAINING AND TECHNICAL ASSISTANCE

**Purpose:** The purpose of this grant program is to improve law enforcement's response to domestic violence incidents; promote pro-arrest or mandatory arrest policies; achieve the reporting of all domestic violence cases; increase coordination with other community services; improve on-scene investigations; and, establish policies regarding the response to domestic violence incidents.

**Background:** In FY 1989, the Office for Victims of Crime (OVC) offered grants giving preference to applicants who were an organizational part of, or were affiliated with, State law enforcement training programs that have an ongoing role in training law enforcement personnel. This approach was taken in an effort to reach a greater number of law enforcement officers and to integrate family violence law enforcement training into State training systems. The purpose of the grant program is to develop and implement a training program which will become an ongoing part of State training programs for law enforcement personnel. Six grants were awarded both in FY 1989 and FY 1990. The awardees included: the Massachusetts Criminal Training Council, the Pennsylvania Coalition Against Domestic Violence, the Detroit Police Department, the Kentucky Domestic Violence Association, the Victims Services Agency of New York, the North Dakota Council on Abused Women's Services, the Connecticut Coalition Against Domestic Violence, the Indiana Department of Human Services, the New York State Office for the Prevention of Domestic Violence, the Tennessee Task Force Against Domestic Violence, the Vermont Justice Training Council, and the Virginia Department of Criminal Justice Services.

Law enforcement training provided thus far under the auspices of the Family Violence Prevention and Services Act has had a significant impact. To date, approximately 30,000 law enforcement officers have been or will be trained by the closing date of the FY 1990 grants. Projects funded to date affect a population of over 65 million people. Policy changes adopted by these agencies include development and implementation of pro-arrest or mandatory arrest policies; expansion of victim assistance services; mandated reporting of all domestic violence incidents; increased community coordination; enhanced on-scene investigation; review and refinement of definitions related to domestic violence; and development of written policies.

The authority for this program is found in § 303(b) of Title III of the Child Abuse Prevention, Adoption, and Family Services Act of 1988 (Pub.L. 100-294), 42 U.S.C. § 10410. Title III of this Act is entitled the "Family Violence Prevention and Services Act."

This program provides support for training and technical assistance for law enforcement and other personnel to assist in addressing issues related to family violence. DHHS, under whose authority these funds are transferred to DOJ, excludes this program from coverage under Executive Order 12372. This training and technical assistance program is national in scope and the statutory requirement for "regionally based training" will be offered by selected grantees in a few locations nationwide. Therefore, the requirements of Executive Order 12372 are waived.

### Goals:

- o To develop and implement a training program for law enforcement policy makers and officers on the most effective procedures and policies for responding to incidents of family violence.
- o To ensure that the training developed and implemented under the grant will continue to be an ongoing part of the training provided to law enforcement officers.

### Objectives:

- o To assess existing policies, practices and protocols relating to domestic violence intervention by law enforcement personnel; and to review relative to the related goals listed above.

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- o To develop training and technical assistance materials to transfer the policies, practices and protocols to law enforcement personnel.
  - o To provide training and technical assistance to the trainers of the law enforcement community.

**Program Strategy:** Up to seven projects will be funded. Each project must focus primarily on the training and policy development needs of an individual State; however, the training programs should be broad enough so that law enforcement officials from neighboring States who wish to attend will benefit from the training.

OVC does not want to duplicate existing training efforts in a particular State. Our goal is to ensure that the information that has been developed under previous grants is utilized and made more relevant to specific State circumstances. This program will be developed in stages: (I) Assessment, (II) Curriculum Revision, and (III) Provision of Training and Technical Assistance.

#### Stage I - Assessment

The first stage will be an assessment of current laws, policies, procedures and protocols regarding family violence intervention by law enforcement within the applicant's state. The applicant shall include a plan for completing this stage in the narrative of the application. The product of this stage will be a report which can either be submitted separately or included in the grantee's quarterly progress report.

#### Stage II - Curriculum Review

Based upon the conclusion of the Assessment Stage, the applicant will review the current family violence training program; update, modify, expand and/or supplement the current program; and include the elements of the "Goals" section in the program. The products of this stage will be:

- o a training program for State and local law enforcement management personnel and policy makers on effective policies and procedures for responding to incidents of family violence. The program should include Statewide/regional training sessions for sheriffs, chiefs of police and other law enforcement policy makers and mid-level managers; and
- o a plan which includes the steps the applicant will take to provide training to the target audience.

The curriculum should be applicable to all line law enforcement officers operating within a particular region or State, incorporating current up-to-date information, procedures, policies and protocols. Applicants are encouraged to ensure that all material is consistent with State law and with accepted law enforcement practices regarding intervention in family violence situations. Many of the practices and policies advocated by OVC can be found in the recommendations of the Attorney General's Task Force on Family Violence and in materials developed by the Victims Services Agency (2 Lafayette Street, 32nd Floor, New York, New York 10007) and the National Organization for Black Law Enforcement Officers (908 Pennsylvania Avenue, S.E., Washington, D.C. 20003) under the previous grants. Products that would be acceptable under this portion of the program are:

- A. Short instructional videotapes which would, for example, present situations that a law enforcement officer would expect to encounter, and require the officer to take a course of action and explain the reasons for taking this action.
- B. The incorporation of actions that need to be taken because of the passage of new state laws related to family violence.
- C. Supplementation of outdated training material with more relevant and timely material. Applicants may wish to consider supplementing existing material with computer software tailored to the training needs of law enforcement officers.

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The training sessions should be formatted and tailored to reach as many policy makers as possible. Further, in designing the training program, the applicant should consider adapting training materials that have been developed under previous grants or materials that are currently available. Funding could be used to modify, update, amend, or expand existing training documents. Information concerning model programs and practices is available from the National Criminal Justice Reference Service, 1600 Research Boulevard; Rockville, Maryland 20850, telephone number (800) 627-6872.

### Stage III - Provision of Training and Technical Assistance

The applicant shall explain the methods and approaches that would be employed to implement this stage which are:

- o The provision of training to the trainers of the curriculum; and
- o The presentation of the completed curriculum products at a conference of the grantees receiving awards under this grant program. Budgets submitted as a part of the application should include funds for two key personnel to attend a conference in Washington, D.C. to present the curriculum and share information.

**Eligibility Requirements:** Applications will be accepted from any State or local law enforcement agency and their training academy and/or a public or nonprofit private agency that has experience in training law enforcement policy makers and officers, particularly in responding to family violence incidents. As this program will focus primarily on training of law enforcement policy makers and developing a training curriculum for line officers within a particular State, the applicant should have experience in and knowledge about the applicable statutes in that State. Further, as it is recognized that the amount of funds available for this program cannot address all the training needs of a particular State, preference will be given to applicants who demonstrate an investment of their own resources in the development of this program. Resources may be in the form of staff time or utilization of existing training materials and facilities.

As competition will be based upon the best possible application, with no more than one application per State receiving funding, agencies and organizations representing a single State are encouraged to join together in developing an application.

Since the purpose of the program is to provide training to the maximum number of law enforcement officers, preference will be given to State law enforcement training programs which have an ongoing role in training of law enforcement personnel. However, it is expected that such agencies will involve knowledgeable victim service organizations with expertise in the nature and response to domestic violence in the development of the training materials, e.g. domestic violence coalitions and shelter programs.

**Selection Criteria:** In determining which applications to fund, OVC will consider the following:

- |    |                                                                                                                                                                                                                            |           |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| A. | Experience in developing and delivering law enforcement family violence training, including the expertise and background of staff assigned to this effort.                                                                 | 10 points |
| B. | Appropriateness of program design and approach to identified problem. Evidence of involvement of victim service programs with expertise in the subject matter is expected.                                                 | 20 points |
| C. | Cost effectiveness and investment of the grantee's own training resources.                                                                                                                                                 | 20 points |
| D. | Extent to which existing material is utilized and to which material and curricula conform to practices and policies of the Attorney General's Task Force on Family Violence and materials developed under previous grants. | 10 points |

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- E. The number of persons and law enforcement agencies that will benefit from training received under this grant program. 20 points
- F. Feasibility of plans to continue the training after the grant has ended. Each application should contain a description of how the efforts described in the grant application will be continued when the program funds expire. 20 points

**Award Period:** The award will be for a 12 month period.

**Award Amount:** OVC will make up to \$450,000 available for this program effort; up to seven grants will be funded. Although no matching funds are required, preference will be given to applicants who demonstrate an investment of their own resources in the development of this program. It is anticipated that grant awards will range from \$50,000 to \$75,000.

**Due Date:** Applications must be postmarked no later than 45 days from the date of this publication.

**Contact:** For further information contact Duane Ragan, Ph.D. (202) 307-5947.



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## FAMILY VIOLENCE INFORMATION DISSEMINATION

**Purpose:** The purpose of this grant program is to improve and facilitate victim reporting of family violence incidents; provide better information access to victims about their cases; and, to better coordinate the exchange of information between law enforcement and victims services.

**Background:** The Secretary of the Department of Health and Human Services is authorized under the Family Violence Prevention and Services Act to transfer funds to the Department of Justice for the purpose of developing materials to be provided to domestic violence victims. The materials are to be provided to each abused family member at the time he or she is identified by law enforcement officers, hospital personnel, social services personnel, education counseling personnel or other appropriate people. The material must include a basic explanation of the rights of the abused family member under the laws of the jurisdiction involved; the services available to the abused family member, including intervention, treatment and support services; and telephone numbers and addresses for the services.

This is the third year of funding for the Family Violence Information Dissemination Program. Eight grants have been awarded to the following organizations: the Denver Police Department, Colorado; the Rochester Police Department, New York; the City of Monroe Planning and Urban Development Division, Louisiana; the City of Pueblo Police Department, Colorado; the Newport News Police Department, Virginia; the Morehead Police Department, Kentucky; the York City Police Department, Pennsylvania; and the Port Gamble Klallam Tribe, Kingston, Washington.

The authority for this program is found in § 303(b) of Title III of the Child Abuse Prevention, Adoption, and Family Services Act of 1988 (Pub.L. 100-294), 42 U.S.C. § 10410. Title III of this Act is entitled the "Family Violence Prevention and Services Act."

**Goals:**

- o To develop informational materials for family violence victims.
- o To develop procedures to ensure that domestic violence shelters, hospitals, and social service and local law enforcement agencies provide family violence victims with a written report regarding their abuse.
- o To develop a system to ensure that domestic violence shelters and local social service personnel, with the victim's consent, may obtain information from local law enforcement agencies relating to the victim's abuse.

**Objectives:**

- o To update police policies and procedures for informing domestic violence victims of their rights and available victims' services.
- o To have procedures developed to provide all victims with a written report of each incident.
- o To strengthen inter-agency coordination and collaboration.

**Program Strategy:** The Family Violence Information Dissemination Program consists of three stages:

Stage I    Development of procedures whereby domestic violence shelters, hospitals, social service agencies and local law enforcement agencies provide family violence victims with a written report related to the abuse reported by that individual.

Law enforcement agencies are required to work with agencies that are commonly involved in the identification of family violence cases in developing and implementing a procedure that ensures that victims of family violence receive a written report of each incident of abuse reported. The applicant must secure cooperation of the appropriate agencies and assurance that they will comply with the procedures that are developed.

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The products of this stage are:

- o A plan for achieving interagency cooperation;
- o Copies of incident reporting forms and instructions; and
- o A signed Memorandum of Understanding between the participating agencies.

Stage II Development of a system whereby domestic violence shelters or local social service personnel, with the consent of the victim, may obtain information from the local law enforcement agency relating to abuse of the victim, including a report describing the initial contact with family members and the law enforcement agency.

One of the problems experienced by family violence victims is that incident reports regarding their victimization have not been made available to them. Without this documentation, victims have often had difficulty in obtaining timely judicial relief and protection. Applicants must describe the method for making available to the victim, or an authorized representative of the victim, incident reports in all family violence cases which they are called to investigate. Applicants must also provide assurances that the process developed will be utilized.

The products of this stage are:

- o A plan for coordinating the service system and law enforcement;
- o Draft and final protocols for making incident reports available to victims; and
- o A signed Memorandum of Understanding between the participating agencies.

Stage III Development of informational materials for family violence victims.

Law enforcement agencies are requested to either develop, revise and/or reprint materials that can be used by law enforcement officers; hospital, social service, education counseling and other personnel involved in the identification of family violence cases. The materials should contain: information relating to the rights of the victim under the law of the jurisdiction involved; the services available to the abused family member, including intervention, treatment, and support services; and phone numbers and addresses for these services.

Informational materials should be developed in sufficient quantity to meet the needs of a particular community or jurisdiction and should be relevant and appropriate to the population served. Areas serving populations where English is primarily the second language are encouraged to develop materials that are culturally relevant, presented in a form and language that is clearly comprehended.

To ensure appropriateness of material, applicants are encouraged to involve personnel from other agencies which respond to family violence cases. Further, the applicant must provide assurances from these other agencies of collaborative efforts and of utilization of the material.

The products of this stage include:

- o Draft text of material to be disseminated;
- o The final printed document(s); and
- o A plan for the dissemination of the products.

**Eligibility Requirements:** In order to be eligible for funding consideration, each applicant must address each of the three elements listed in the Program Strategy section above. Applications will be accepted from any local law enforcement agency including: town, village, city and county police departments, and sheriffs departments. The chief executive of any town, village, city or county can make application on behalf of his or her law enforcement agency if

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assurances are provided within the application that the local law enforcement agency supports the application. Applications submitted directly from a local law enforcement agency must be submitted by the head of the agency.

**Selection Criteria:**

- |     |                                                                                                                                                                                 |           |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| A.  | The degree to which the applicant has addressed the three program requirements, including obtaining all applicable assurances of cooperation:                                   | 40 points |
| (1) | development and production of informational materials;                                                                                                                          |           |
| (2) | development and implementation of procedures to ensure that family violence victims receive a written report of each incident; and                                              |           |
| (3) | development and implementation of a method for making the law enforcement agency's information available to family violence victims.                                            |           |
| B.  | The comprehensiveness of the proposed material to be developed and evidence of involvement of appropriate agencies, including family violence victim service agencies.          | 20 points |
| C.  | The ethnic and cultural relevance of the material to be developed, depending upon the composition of the community.                                                             | 15 points |
| D.  | The costs and benefits of the material to be developed, to include how many people will benefit from this program and the likelihood that programs will become self-sustaining. | 15 points |
| E.  | The demonstrated need for development of new and/or revised materials and procedures in the community.                                                                          | 10 points |

**Award Period:** Grants will be for 12 months.

**Award Amount:** OVC will make up to \$50,000 available for this program effort; up to five grants will be funded. Applicants are requested to prepare a budget not to exceed \$10,000.

**Due Date:** Applications must be postmarked no later than 45 days from the date of this publication.

**Contact:** For further information contact Duane Ragan, Ph.D. (202) 307-5947.

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## INDIAN NATIONS CONFERENCE

**Purpose:** To provide a national conference that will serve as a forum to focus on the needs of Native American crime victims and to provide training and technical assistance to service providers who operate victim assistance programs in Indian country.

**Background:** The Office for Victims of Crime (OVC) is awarding these FY 91 funds in an effort to expand services to crime victims in Indian country. Many Indian crime victims live far from services like hospitals, domestic violence shelters, and police stations and often have no telephones or easy access to transportation. Some speak only their native language. Many Indian reservations lack the financial resources to establish victim assistance programs, so victim assistance programs on reservations have been virtually non-existent.

OVC has implemented several new program initiatives that provide direct services to Indian victims of violent crimes. A discretionary grant program has made awards totaling \$2.4 million to fifteen states. These states have subsequently made 52 subgrant awards to Indian tribes or Indian organizations to support a variety of victim assistance services. OVC has also sponsored a number of training opportunities for service providers and tribal and Federal officials responsible for investigating and prosecuting violent crimes in Indian country. Since 1988, OVC has also sponsored a yearly national conference for Native Americans, entitled, "Indian Nations: Justice for Victims of Crime." These conferences have brought together hundreds of Native American crime victims, victim advocates, and service providers from a variety of agencies and disciplines, including mental health, social services, criminal justice, and others.

This announcement of funding for this conference will provide another opportunity for an interdisciplinary gathering of professionals to identify and address the needs of crime victims in Indian country.

**Goal:**

- o To sponsor a national conference that provides training to multidisciplinary professionals to improve their skills in responding to Native American crime victims.

**Objectives:**

- o To review current information on victim assistance programs in Indian country and evaluations and suggestions from previous conferences.
- o To develop, with the assistance of a planning committee, an agenda for a 3 day training conference that incorporates successful models for providing services for victims of crime in Indian country.
- o To present a 3 day national training conference that will:
  - Enhance the skills necessary to create an effective and responsive system to victims of crime in Indian country.
  - Bring together diverse and important groups who can work together for change: Native American victims of crime, victim advocates and service providers, Federal, state, and local law enforcement, medical, social service and mental health professionals, community and tribal leaders.
  - Promote an interdisciplinary approach that addresses legal, law enforcement, and victim assistance aspects of responding to crime victims.
  - Present established and new models of assisting Native American crime victims. The range of approaches should include traditional ceremonies and healing rituals that are part of the Native American culture.

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- o To fund scholarships for those who would be otherwise unable to attend and are involved in crime victims assistance efforts on their reservations and in their communities.
  - o To complete an overall evaluation of the training provided and make recommendations for meeting future training needs.

**Program Strategy:** This training and technical assistance project will utilize tribal, state, and Federal resource people who have developed workable tribal models to provide services to victims of crime. Successful programs will be encouraged to share information and ideas. The planning committee, presenters, and conference participants will include representation from the following groups: Native American victims of crime; victims of crime support groups; victim advocate groups; tribal judges; legal advocates; law enforcement; medical, social service, and mental health providers; tribal leadership; community members; volunteers; and, victim assistance organizations from tribal, state, and Federal levels.

#### Stage I - Assessment

The first stage of the project will include the following activities:

- o Review of current Native American assistance programs and information gathered from the previous conferences.
- o Selection of possible conference sites, dates, poster artist.
- o Selection of core planning committee members.
- o Development of a mailing list for participants.

The products of this stage are:

- o A plan for conducting the assessment;
- o An assessment report;
- o A plan for conducting the conference; and
- o A mailing list of participants.

#### Stage II - Planning

During the second stage, after grantee has received approval of the above, the grantee will:

- o Hold planning committee meetings.
- o Develop conference themes, goals, title, focus.
- o Develop preliminary list of speakers.
- o Set agenda, workshop topics.
- o Design announcement flyer, information package, scholarship application and conference registration form, and evaluation forms.
- o Approve conference poster.
- o Finalize orders with hotel.
- o Select and notify scholarship recipients.
- o Finalize registration plan.
- o Finalize plans for scholarship recipients.

The products to be developed during this stage include:

- o Conference poster.
- o Conference manual, to include an agenda, descriptions of workshops, and speaker biographies.
- o Conference flyer, scholarship application and conference registration forms, workshop evaluation forms.

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### Stage III - Conference/Training

During the third stage, the grantee will perform the following activities:

- o Hold the training conference.
- o Complete travel arrangements and reimbursements for scholarship recipients.

### Stage IV - Follow-Up and Evaluation

During this stage, the grantee will:

- o Analyze the evaluation forms from conference participants.
- o Prepare a final report for the grantor agency that includes recommendations for meeting the future training needs for those who are assisting crime victims in Indian country.

The product of this stage is:

- o A final report to include recommendations for meeting the future needs of crime victims in Indian country.

**Eligibility Requirements:** Applications are invited from Federally recognized Indian tribes, or consortia of such tribes and Indian owned and/or operated non-profit organizations. Applicants must demonstrate that they have ample expertise and/or prior experience in a project of a nature similar to that for which they are applying. The program narrative cannot exceed 20 double-spaced pages in length and should specifically address the selection criteria listed in the following section. Applicants must include:

- o a succinct statement of the goals and objectives of the program.
- o a description of the proposed approach for achieving those goals and objectives, including a description of proposed planning committee members.
- o a detailed discussion of how the activities and products of the program would be accomplished.
- o a plan outlining the major activities involved in implementing the program and describing the allocation of available resources and how the program will be managed.
- o a "time-task plan" that clearly identifies major milestones and products; designates organizational responsibility; and indicates a schedule for completion.
- o an organizational chart depicting the roles and describing the responsibilities of key organizational/functional components, and a list of key personnel responsible for managing and implementing the major stages of the project. (This documentation and individual resumes may be submitted as appendices to the application.)
- o a detailed justification for all costs, including the basis for computation of these costs; with an emphasis on cost containment in order to maximize the amount of funding available to support scholarships for Native American conference participants.

**Selection Criteria:** In determining which applications to fund, OVC will consider the following:

- |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |           |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| A. | Organizational capability. This criterion includes the extent and quality of organizational experience in the development, delivery and coordination of programs of similar nature.                                                                                                                                                                                                                                                                               | 20 points |
| B. | Soundness of the Proposed Program Strategy. This criterion includes a project design that is sound and contains program elements directly linked to the achievement of project objectives. It also includes appropriateness and technical adequacy of the approach to the activities and products of each stage of the program for meeting the goals and objectives. Individuals and organizations who would compose the Planning Committee should be identified. | 25 points |

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- C. **Clarity and Appropriateness of the Program Implementation Plan.** This criterion includes a feasible plan that outlines the major activities and timeline involved in implementing the program, describes how the available resources will be allocated, and how the program will be managed. 15 points
- D. **Qualifications of Project Staff.** This criterion includes the qualifications of staff identified to manage and implement the program, including staff to be hired. This criterion includes the clarity and appropriateness of position descriptions, required qualifications and selection criteria relative to the specific functions set out in the Program Implementation Plan. 15 points
- E. **Budget.** This criterion requires that budgeted costs are reasonable, allowable, and cost-effective for the activities to be undertaken. This criterion includes completeness and appropriateness of the proposed costs in relation to the proposed strategy and tasks to be accomplished. Emphasis will be placed on cost containment for conference planning in order that the maximum amount possible be preserved for scholarships for Native American conference participants. 25 points

The results of peer review will be an aggregate ranking of applications in the form of "Summary of Ratings." These will be based on numerical values assigned by individual peer reviewers. Peer review recommendations, in conjunction with the results of internal review and any necessary supplementary reviews, will assist OVC in considering competing applications and in selection of the application for funding. The final award decision will be made by the OVC Director.

**Award Period:** The grant will be for 12 months.

**Award Amount:** OVC will make up to \$120,000 available for this program effort.

**Due Date:** Applications must be postmarked no later than 60 days from the date of this publication.

**Contact:** For further information contact Sue Shriner, Program Specialist, (202) 514-6444.

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## TOPIC SPECIFIC TRAINING AND TECHNICAL ASSISTANCE

**Purpose:** The purpose of the program is to provide training that will improve the quality of services to crime victims. To address this purpose, the awarded funding will be used to support the development of training materials and the provision of training on a variety of specific topics relating to crime victims and of concern to victim service providers, law enforcement trainers, mental health practitioners, judges, prosecutors, the clergy and others who play a critical role in responding to victims.

**Background:** The specter of violent crime and the knowledge that any person, without provocation or warning, can become a victim of crime, has increased the need for competent personnel to assist crime victims in the aftermath of a crime. A fundamental component to providing high-quality services to crime victims is trained, competent direct service providers.

To expand the cadre of skilled professionals and volunteers providing high-quality services, each year OVC funds training for direct service providers. With this program, OVC is again soliciting proposals for developing and conducting training. However, the focus of this program is the provision of training on specific topics relating to crime victims. OVC expects that such a training format will serve as an opportunity to address timely, relevant issues relating to crime victims and appropriate for concentrated examination, discussion, and instruction. Examples of specific topics may include, but are not limited to, how to provide effective services for survivors of homicide victims, victims of gang violence, elderly abuse victims, adults molested as children, child victims of sexual abuse, and victims of child abuse, sexual assault, drunk driving crashes, spouse abuse, etc.

There are many new and innovative approaches to assisting victims in the aftermath of a crime. OVC is soliciting applications which will improve the quality of victim services. Targeted personnel to be trained include, but are not limited to, victim service providers, mental health practitioners, judges, prosecutors, clergy, law enforcement, etc. Since the amount of money available for such training is limited and the on-going need for training is extensive, preference will be given to proposals which utilize or build upon existing training curriculums focused on the specific topic or audience.

### **Goal:**

- o To develop and offer topic-specific training to direct victims service providers, mental health practitioners, judges, prosecutors, clergy and others so that services to victims of crime will be improved.

### **Objectives:**

- o To assess existing research and training programs on the topic.
- o To develop a training curriculum.
- o To develop a training and technical assistance package for presentation.
- o To provide training and technical assistance.

**Program Strategy:** Specific products will be produced at each stage of each funded project.

### **Stage I - Assessment**

As part of the assessment, the selected applicant's first quarterly report will describe efforts to ensure that the topical material to be presented is up-to-date, comprehensive and adequate in scope.



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## Stage II - Curriculum Development

As a result of work undertaken during the training curriculum development stage, a training curriculum will be developed based on material collected and reviewed during stage one.

## Stage III - Development of Training and Technical Assistance Package

The training and technical assistance package for presentation will include, at a minimum:

- o Identification of training and technical assistance personnel.
- o The development of a training agenda.
- o The development of a draft and final training manual and information materials. Comprehensive training manuals that detail the project's design and operation must be developed to encourage and facilitate replication of the training event.

## Stage IV - Provision of Training and Technical Assistance

Finally, during the training and technical assistance provision stage, the applicant will be expected to explain the methods and approaches to be employed to implement this stage. Products to be completed will include, at a minimum:

- o A training event;
- o An evaluation of the training; and
- o A final report.

**Eligibility Requirements:** Applications are invited from public and private agencies and organizations having an in-depth knowledge and expertise in the subject of their application. Applicants must demonstrate that they have ample expertise and/or prior experience in the design and conduct of a project of a nature similar to that for which they are applying.

**Selection Criteria:** In determining which applications to fund, OVC will consider the following:

- |    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |           |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| A. | The topic to be addressed by the project is clearly stated. Applicants should include a background section demonstrating a clear understanding of the state of the art regarding the topic and a statement justifying the need of victim service providers and other professionals for the proposed training.                                                                                                                                                                                                                                                                                | 15 points |
| B. | Goals and objectives of the proposed project are clearly defined.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 10 points |
| C. | The project design is sound and contains program elements directly linked to the achievement of project objectives.                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 20 points |
| D. | The project management structure is adequate to the successful conduct of the project. This criterion includes: adequacy and appropriateness of the project management structure and the feasibility of the time-task plan; and, the qualifications of staff identified to manage the project, and develop and deliver training in the proposed topical area to be addressed by the grant project, including the clarity and appropriateness of position descriptions, required qualifications and selection criteria relative to the specific functions set out in the implementation plan. | 20 points |

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- E. Organizational capability is demonstrated at a level sufficient to successfully support the project. This criterion includes the extent and quality of organizational experience in the development, delivery and coordination of programs of similar nature. 15 points
- F. Budgeted costs are reasonable, allowable and cost-effective for the activities to be undertaken. This criterion includes completeness and appropriateness of the proposed costs in relation to the proposed strategy and tasks to be accomplished. The use of materials already proven to be effective and their contribution to cost containment will be considered. 20 points

**Award Period:** Grants will be for 12 months.

**Award Amount:** OVC will make up to \$300,000 available for this program effort. Grants of up to \$60,000 each will be awarded for individual projects.

**Due Date:** Applications must be postmarked no later than 45 days from the date of this publication.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, (202) 514-6444.

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## TRAINING AND TECHNICAL ASSISTANCE FOR VICTIM SERVICE PROVIDERS

**Purpose:** The purpose of this program is to provide training to victim assistance service workers in the areas of program development, management, evaluation and direct service.

**Background:** Although crime has been a problem of great national concern for decades, it only has been in the last ten years that the plight of the crime victim has been brought to the Nation's attention. The President's Task Force on Victims of Crime was created in 1981 to focus on this problem. After holding six public hearings, the Task Force issued a final report in December of 1982 and made 68 recommendations on how the treatment of crime victims could be improved. Since then, there has been an increase in the number and type of victim assistance as well as training for victim service program staff. Over the past three to five years, the Office for Victims of Crime (OVC) has supported the development of curriculums for training victims assistance service providers, including rape victim counselors, child abuse treatment specialists, counselors for battered women, victim/witness advocates, counselors for survivors of homicide victims and others.

**Goals:**

- o To disseminate effective strategies for improving services to crime victims.
- o To provide training to victim service providers.

**Objectives:**

- o To develop a strategy for providing training to victim service providers.
- o To provide training nationwide.
- o To evaluate the effectiveness of the training.

**Program Strategy:** This solicitation invites applications for a grantee to provide training to crime victim service providers, based on a curriculum developed by OVC under previous grants.

The products to be completed include:

- o A plan for providing training nationwide;
- o Revisions, subject to OVC approval, to the training curriculum and development of an evaluation strategy;
- o The identification of training and technical assistance personnel;
- o Pretest of the curriculum;
- o Implementation of the training strategy; and
- o A report on the results of the evaluation.

**Eligibility Requirements:** In addition to the requirements in the Application and Administrative Requirements section of this document, the applicant must demonstrate experience in the following areas in order to be eligible for consideration:

- o Experience in the development and delivery of training or technical assistance.
- o Demonstrated knowledge of the issues associated with criminal justice handling of crime victims and service provision to victims.
- o Demonstrated management and financial capability to manage a program of this size and scope.

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**Selection Criteria:** All applications will be evaluated and rated based on the extent to which they meet the following weighted criteria.

- |    |                                                                 |           |
|----|-----------------------------------------------------------------|-----------|
| A. | Organizational Capability.                                      | 20 points |
| B. | Soundness of the Proposed Strategy.                             | 30 points |
| C. | Qualifications of the Project Staff.                            | 20 points |
| D. | Clarity and Appropriateness of the Program Implementation Plan. | 20 points |
| E. | Budget.                                                         | 10 points |

**Award Period:** This award will provide support for the implementation of the training activities over a 12-month period.

**Award Amount:** Up to \$150,000 has been allocated for training and one cooperative agreement will be awarded. This program is a collaborative effort between the OVC and the BJA. Both organizations will jointly process and administer the award.

**Due Date:** As a joint BJA/OVC program, this announcement was published in the BJA application kit and has a due date of 90 days from the date of that publication, February 20, 1991, which establishes a due date of May 21, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Pamela Swain, Director, Discretionary Grant Program Division, (202) 514-5497.

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## TRAINING AND TECHNICAL ASSISTANCE FOR LAW ENFORCEMENT (SEXUAL ASSAULT VICTIMS)

**Purpose:** The purpose of this program is to provide training and technical assistance to law enforcement officers, prosecutors, and victim service providers in the area of sexual assault.

**Background:** According to the Uniform Crime Report, there were 92,490 rapes reported during 1988. The victim's first points of contact with the criminal justice system are the police and prosecutors. These two groups have the opportunity to offer sexual assault victims interaction which is supportive and sympathetic. Sensitive treatment of victims is not only proper, but will also encourage victim participation in criminal justice proceedings -- a motivation often lacking with victims of sexual assault.

### Goals:

- o To identify appropriate protocol for interaction with victims of sexual assault.
- o To improve the quality of the criminal justice system's relationship with victims of sexual assault.
- o To disseminate training programs for interaction with victims of sexual assault.

### Objectives:

- o To assess existing police and prosecutor protocol for inter-relating with victims of sexual assault.
- o To develop a prototype for providing services to victims of sexual assault.
- o To develop training and technical assistance materials to translate the prototype to the field.
- o To disseminate the training material.

**Program Strategy:** This solicitation invites applications for a grantee to develop a prototype and training and technical assistance materials. This program will be developed incrementally in three stages: assessment; prototype development; and training and technical assistance development. A decision will be made at the completion of each stage, based on availability of funds, and the quality and utility of the products, about whether to invest additional funds to complete the current stage or to terminate the program.

### Stage I - Assessment

The first stage of the program consists of the identification and assessment of existing protocol for interaction with victims of sexual assault.

The products to be completed during this stage are:

- o A plan specifying how the assessment will be conducted;
- o A draft report which includes:
  - Criteria for identifying effective protocols for victims of sexual assault,
  - Recommendations for refining the goals and objectives of the program,
  - Descriptions of protocols for victims of sexual assault;
- o Recommendations for developing a protocol;
- o A preliminary design to evaluate the feasibility and effectiveness of the protocol;
- o A dissemination strategy to inform the field about the development of the protocol, the products and results of each stage; and
- o A final report.

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## Stage II - Development of Prototype

Upon successful completion of the Assessment Stage and with the approval of BJA, the grantee will develop a prototype victims of sexual assault program and prepare a program operational manual for organizing, planning, developing, implementing, monitoring and evaluating the prototype program.

The products to be completed in this stage are:

- o A plan for prototype design and protocol manual development;
- o A draft and final protocol manual; and
- o A dissemination strategy to inform the field about the development of the protocol manual and the products and results of this stage.

## Stage III - Training and Technical Assistance Development Activities

Upon successful completion of Stage II and with the approval of BJA and OVC, the grantee will prepare a plan for developing the training and technical assistance materials. Based on the plan, the grantee will transfer the prototype in the protocol manual into a training and technical assistance package. Comprehensive training manuals that detail the prototype design and operation must be developed to facilitate implementation of the prototype.

The products to be completed during this stage are:

- o A plan for the development of the training and technical assistance materials;
- o Identification of training and technical assistance providers;
- o A draft and final training and technical assistance package, including the training manual and informational materials pertaining to the prototype and the evaluation;
- o A pretest of the training materials;
- o Refinement of training materials based upon pre-test results; and
- o A dissemination strategy.

**Eligibility Requirements:** Applications are invited from public agencies and not-for-profit private organizations. Applicant organizations may choose to submit joint proposals with other eligible organizations as long as one organization is designated as the applicant and any co-applicants are designated as such. Together co-applicants must meet the eligibility requirements specified below.

In addition to the requirements enumerated in the Application and Administrative Requirements Section of this document the applicant must demonstrate experience in the following areas in order to be eligible for consideration:

- o Demonstrated knowledge of the issues associated with criminal justice system handling of victims of sexual assault.
- o Prior experience in the development and delivery of training or technical assistance.

The applicant must also demonstrate that they have the management and financial capability to effectively implement a project of this size and scope.

**Selection Criteria:** All applications will be evaluated and rated based on the extent to which they meet the following weighted criteria:

- |    |                                     |           |
|----|-------------------------------------|-----------|
| A. | Organizational Capability.          | 20 points |
| B. | Soundness of the Proposed Strategy. | 30 points |

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- C. Qualifications of the Project Staff. 20 points
  - D. Clarity and Appropriateness of the Program Implementation Plan. 20 points
  - E. Budget. 10 points

**Award Period:** The initial award will provide support for stages I through III over a 12-month period. This program is a collaborative effort between OVC and the Bureau of Justice Assistance (BJA).

**Award Amount:** Up to \$150,000 has been allocated for the initial award for training and technical assistance. One cooperative agreement will be awarded competitively. Both organizations will jointly process and administer the award.

**Due Date:** As a joint BJA/OVC program, this announcement was published in the BJA application kit and has a due date of 90 days from the date of that publication, February 20, 1991, which establishes a due date of May 21, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6144.

The BJA contact is Pamela Swain, Director, Discretionary Grant Program Division, (202) 514-5497.

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## **DRUG IMPACTED SMALL JURISDICTIONS DEMONSTRATION PROGRAM**

**Purpose:** The purpose of this program is to demonstrate effective drug control strategies which address drug trafficking and drug-related crime problems in jurisdictions with populations of 50,000 or less. This program will be implemented in two related initiatives. The first initiative will consist of the development of a comprehensive model through a technical assistance and model development grant. The second initiative will consist of implementation.

**Background:** Drug trafficking and drug-related crime has devastated many small jurisdictions. These communities, which represent a very large segment of the population of the United States, often lack the resources and expertise of larger jurisdictions in dealing with the expansion and sophistication of drug crime. The criminal justice system should have a primary role in mobilizing communities to develop comprehensive strategies for combatting illegal drugs and improve services to crime victims. The police and the communities should work together in a relationship of trust, cooperation and partnership to promote safety and security and to rid their neighborhoods of thugs and drug pushers. Prevention and intervention efforts will be concentrated in public housing complexes, drug-free school zones, recreational parks and community centers threatened by drug-related crime and illegal gang activity. The involvement of residents, neighborhood organizations and institutions is an essential component of these programs.

**Goals:**

- o To identify and assess the applicability of drug control strategies to small jurisdictions.
- o To adapt drug control strategies for implementation in small jurisdictions.
- o To disseminate effective drug control strategies for small jurisdictions.
- o To implement drug control strategies in selected jurisdictions.
- o To evaluate the effectiveness of the drug control strategies in the demonstration sites.

**Objectives:**

- o To assess existing community drug prevention and control strategies.
- o To develop a prototype drug prevention and control strategy for small jurisdictions.
- o To develop training and technical assistance materials to transfer the prototype to selected sites.
- o To provide training and technical assistance to demonstration sites.
- o To disseminate the results of the demonstration.

**Program Strategy:** This solicitation invites applications for a grantee to develop prototype materials and provide assistance to the demonstration sites (Track I). This solicitation also invites applications from jurisdictions to serve as demonstration sites (Track II). This program will be developed incrementally in four stages: assessment; prototype development; training and technical assistance development; and provision of training and technical assistance. The demonstration sites will participate with the training and technical assistance grantee in each of the four stages. The training and technical assistance grantee will assist the sites in developing and implementing an evaluation of their programs. If funds are awarded to an independent organization to conduct an evaluation of this program, the training and technical assistance grantee is expected to work closely with the evaluator. A decision will be made at the completion of each stage, based on availability of funds, and the quality and utility of the products, about whether to invest additional funds to complete the current stage or to terminate the program.



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### Stage I - Assessment

The first stage of the program consists of the identification and assessment of existing community strategies by the training and technical assistance grantee. The demonstration sites will review the materials prepared by the training and technical assistance grantee and provide guidance regarding feasibility and applicability to their communities.

The products to be completed during this stage are:

- o A plan specifying how the assessment will be conducted;
- o A draft and final report which includes:
  - Criteria for identifying community strategies,
  - Recommendations for refining the goals and objectives of the program,
  - Descriptions of community strategies for developing comprehensive drug prevention and control programs;
- o Recommendations for developing a prototype community strategy that is applicable to small jurisdictions;
- o A preliminary design to evaluate the feasibility and effectiveness of the strategy; and
- o A dissemination strategy to inform the field about the development of the program, the products and results of each stage.

### Stage II - Development of Prototype

Upon successful completion of the assessment stage and with the approval of BJA, the training and technical assistance contractor will develop a prototype community strategy and prepare a program operations manual for organizing, planning, developing, implementing, monitoring and evaluating community drug prevention and control strategies in small jurisdictions. The demonstration sites will assist the training and technical assistance grantee in developing the program operations manual and provide recommendations regarding their training needs for implementing the prototype.

The products to be completed in this stage are:

- o A plan for prototype design and program operations manual development;
- o A draft and final program operations manual;
- o A plan by each demonstration site for implementing and evaluating the prototype strategy; and
- o A dissemination strategy to inform the field about the development of the program, the products and results of this stage.

### Stage III - Training and Technical Assistance Development Activities

Upon successful completion of stage II, and with the approval of BJA, the training and technical assistance grantee will prepare a plan for developing the training and technical assistance materials. Based on the plan, the grantee will transfer the prototype in the operations manual into a training and technical assistance package. Comprehensive training manuals that detail the prototype design and operation must be developed to facilitate implementation of the prototype in the demonstration sites. The demonstration sites will review the training and technical assistance materials as they are developed to ensure the materials meet the needs as well as the needs of other small jurisdictions.

The products to be completed under this stage are:

- o A plan for the development of the training and technical assistance materials;
- o Identification of training and technical assistance providers;
- o A draft and final training and technical assistance package including the training manual and informational materials pertaining to the prototype and the evaluation;

- 
- o Organization of a task group plan in demonstration sites; and
  - o A dissemination strategy.

#### **Stage IV - Provision of Training and Technical Assistance to Support Implementation at Demonstration Sites**

The training and technical assistance grantee will provide assistance in implementing the prototype community strategy to the demonstration sites. The demonstration sites will continue organizational, planning and implementation activities.

The products to be completed during this stage are:

- o A plan for providing training and technical assistance to demonstration sites;
- o A demonstration site plan for implementation and evaluation; and
- o A dissemination strategy to inform the field about the development of the program, and the products and results of this demonstration.

**Eligibility Requirements:** In addition to the requirements in the Application and Administrative Requirements section of this document, the applicant must demonstrate experience in the following areas to be eligible for consideration:

#### **Track I - Training and Technical Assistance**

Applications are invited from public agencies and not-for-profit private organizations. Applicant organizations may choose to submit joint proposals with other eligible organizations as long as one organization is designated as the applicant and any co-applicants are designated as such. Together co-applicants must meet the eligibility requirements specified below.

The applicant must demonstrate experience in the following areas in order to be eligible for consideration:

- o Prior experience in the design and implementation of a multi-site demonstration program.
- o Demonstration and evaluation of criminal justice system.
- o Demonstrated knowledge of the issues associated with criminal justice system handling of drug offenders.
- o Prior experience in the development and delivery of training or technical assistance.

The applicant also must demonstrate management and financial capability to effectively implement a project of this size and scope.

#### **Track II - Demonstration Sites**

Applications are invited from public agencies and not-for-profit private organizations. Applicant organizations may choose to submit joint proposals with other eligible organizations as long as one organization is designated in the application as the applicant and any co-applicants are designated as such. Together co-applicants must meet the eligibility requirements specified below.

The applicant must demonstrate experience in the following areas in order to be eligible for consideration:

- o Authority, access to resources and flexibility in organizing and deploying human and financial resources in the community.
- o Management and financial capability to effectively implement a project of this size and scope.

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**Selection Criteria:** All applications will be evaluated and rated based on the extent to which they meet the following weighted criteria:

- |    |                                                                 |           |
|----|-----------------------------------------------------------------|-----------|
| A. | Organizational Capability.                                      | 20 points |
| B. | Soundness of the Proposed Strategy.                             | 30 points |
| C. | Qualifications of the Project Staff.                            | 20 points |
| D. | Clarity and Appropriateness of the Program Implementation Plan. | 20 points |
| E. | Budget.                                                         | 10 points |

**Award Period:**

**Track I - Training and Technical Assistance**

The initial award for 18 months will provide support for stages I through III.

**Track II - Demonstration Sites**

The initial award for 18 months will provide support for stages I through III.

**Award Amounts:** OVC and the Bureau of Justice Assistance (BJA) are jointly funding this program for a total of \$525,000.

**Track I - Training and Technical Assistance**

Up to \$250,000 will be available for one cooperative agreement.

**Track II - Demonstration**

Up to \$90,000 will be available for each demonstration site. Up to three sites will be funded for a total of up to \$270,000.

**Due Date:** As a joint BJA/OVC program, this announcement was published in the BJA application kit and has a due date of 90 days from the date of that publication, February 20, 1991, which establishes a due date of May 21, 1991.

**Contact:** For further information contact Pamela Swain, Director, Discretionary Grant Program Division, BJA, (202) 514-5497.

The OVC contact is Victoria O'Brien, Acting Director, Special Projects Division, (202) 514-6144.

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# **CONTINUATION PROGRAM SECTION**

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## TRAINING AND TECHNICAL ASSISTANCE FOR NATIVE AMERICAN CHILDREN'S JUSTICE ACT GRANTEES

**Purpose:** The purpose of this grant program is to provide technical assistance and training to those Indian Tribes that were awarded a grant as part of the Children's Justice Act (CJA) Discretionary Grant Program for Native Americans in FY 91 or will receive such a grant in FY 92. OVC seeks to ensure that all tribal programs that have received a CJA grant are provided the training and technical assistance necessary to implement their programs successfully; to improve the investigation, prosecution and handling of child abuse cases within tribal jurisdiction, particularly cases of child sexual abuse, in a manner which limits additional trauma to the child victim; and, to encourage a multidisciplinary approach to handling child abuse cases.

**Background:** The CJA grant program is designed to improve the handling of child abuse cases, particularly cases of child sexual abuse, in a manner which limits additional trauma to the child. In 1990 and 1991, 20 CJA grants were awarded to Indian tribes based on a competitive review. The program focuses on handling cases of child abuse from the initial reports and the first stages of intervention and investigation to the resolution of the cases in a manner that increases support for and lessens the trauma to the child victims.

Accordingly, training efforts for the CJA grantees should focus on a multidisciplinary approach that minimizes the trauma suffered by the child victim and maximizes the opportunity to provide assistance and services needed to support the child's recovery. Coordination of all entities at the tribal, Federal and state levels involved in child abuse cases as well as strategies for accomplishing systemic change so that the improvements become an ongoing part of the tribal response should be addressed in the training and technical assistance.

### Goals:

- o To develop training and technical assistance materials for the CJA grantees.
- o To provide the training and technical assistance to the CJA grantees.

### Objectives:

- o To identify and assess CJA grantee needs for training and technical assistance.
- o To revise the existing training curriculum based upon assessment and review by experts in the subject matter.
- o To provide training and technical assistance to CJA grantees that enables the grantees to successfully implement systemic changes to improve the handling of child abuse cases.
- o To evaluate the training and technical assistance provided and make recommendations for meeting the future needs of grantees.

**Program Strategy:** This training and technical assistance project will be implemented in four stages, so that each phase builds on "lessons learned," experience and evaluations made in the training and technical assistance assessment that has already been completed. Stages include (1) assessment; (2) development and revision of the training and technical assistance curriculum; (3) delivery of training and technical assistance; and (4) evaluation.

### Stage I - Assessment

The purpose of the assessment is to identify and prioritize training needs and review and evaluate existing curriculums. Grantee must complete the following activities and products within 45 days of receiving the grant award:

- o Submit list of experts for curriculum review for OVC approval;
- o Submit the curriculum for review by experts in the field;
- o Review current CJA grant applications;
- o Review CJA grantee evaluations of training conducted in Denver in January 1991;
- o Revise the current needs assessment survey instrument for OVC approval;
- o Using the survey instrument, assess each CJA grantee's needs;
- o Finalize the results of the review and needs assessment survey and develop a written assessment report that categorizes and establishes training priorities; and,
- o Submit the assessment report to OVC for approval.

#### **Stage II - Development of the Training and Technical Assistance Curriculum**

Upon successful completion of the assessment stage, grantee will revise the training curriculum as recommended. Attention will be given to assembling a resource manual covering the identification and reporting of cases, intervention, investigation, protection of the child, judicial procedures, sentencing and post sentencing counseling and disposition. Follow-up technical assistance site visits for each of the CJA grantees will also be planned during this stage. The products to be completed include:

- o An outline of the materials to be included in the training resource manual;
- o A draft agenda for a 4 day training event;
- o Identification of training personnel and consultants to be used for the site visits (include resumes);
- o A revised training curriculum with a resource manual;
- o An evaluation form for the training session; and,
- o A training and technical assistance plan that describes how the training conference will be implemented, how subsequent on-site technical assistance will be delivered to the 20 CJA grantees, and how on-going consultation will be provided to grantees.

#### **Stage III - Delivery of Training and Technical Assistance**

Upon successful completion of stage II, the grantee will provide training and technical assistance. The products to be completed include:

- o A 4 day training conference for the approximately 28 CJA grantees, or 56 individuals;
- o An evaluation of the training conference that includes participants and trainee evaluations.
- o An individualized site visit protocol to be submitted to OVC prior to each site visit; and,
- o Within 7 days of each site visit, submission of a report to OVC that outlines problems addressed, technical assistance provided and recommendations for follow-up assistance to the CJA grantee.

#### **Stage IV - Evaluation**

Upon successful completion of all training and technical assistance activities, grantee will submit a final report that gives an overall assessment of the training provided and recommendations for meeting the future needs of grantees. The products to be completed during this stage are:

- o A final report which includes an evaluation of how well the goals and objectives of the program were met and a summation of the technical assistance provided; and
- o Recommendations for meeting the future needs of grantees.

**Eligibility Requirements:** This is a continuing discretionary grant program designed to provide training and technical assistance to Native American Indian tribes and organizations that have received a grant from the CJA Discretionary

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Grant Program for Native Americans. National Indian Justice Center is invited to submit an application to continue this program.

**Selection Criteria:** In evaluating the application, OVC will consider the following:

- |    |                                                                                                                                                                                                                                                     |           |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| A. | Soundness of the proposed strategy, showing coordination of activity with Federal criminal justice authorities, for example, the Federal Bureau of Investigation, United States Attorneys, Federal Victim/Witness Coordinators, etc.                | 20 points |
| B. | Clarity and appropriateness of the program implementation plan.                                                                                                                                                                                     | 15 points |
| C. | Proposed training curriculum that includes a multidisciplinary response to child sexual abuse cases and technical supplements for law enforcement, social service, medical, and judicial personnel.                                                 | 25 points |
| D. | Qualifications of the project staff. Involvement of professionals with expertise in victim assistance services, investigative techniques, prosecution in tribal, state and Federal courts; treatment, child protective services, etc., is expected. | 20 points |
| E. | A detailed budget and narrative indicating staff allocation which demonstrates the cost-effectiveness of the project.                                                                                                                               | 20 points |

**Award Period:** The initial grant period will be 12 months.

**Award Amount:** OVC will make up to \$200,000 available for this continuation award.

**Due Date:** Applications must be postmarked no later than 60 days from the date of this publication.

**Contact:** For further information contact Cathy Sanders, Program Specialist, (202) 514-6444.

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## PREVENTION OF CHILD SEXUAL EXPLOITATION TRAINING AND TECHNICAL ASSISTANCE

**Purpose:** The purpose of this program is to support the provision of street intervention services to child victims of sexual exploitation and to improve the quality of instruction available to law enforcement officers, school officials and victim service providers so that they may be better skilled at identifying, serving and communicating with child victims of sexual exploitation, many of whom are prostitutes, runaways, and throwaways or missing children.

**Background:** The final report of the President's Child Safety Partnership presented information about the nature and extent of violence against children, and specifically highlighted the "streets of Time Square in New York where thousands of runaway children are victimized by addicts and pimps, and by overtly respectable citizens who buy the sexual favors of young boys and girls for the price of a sandwich and a soft drink."

This program reaches out to these victims of criminal sexual exploitation and provides treatment and rehabilitation services to them. The grantee also collects information from the target population on their problems and needs in order to improve the social services to and medical treatment of this group.

### **Goals:**

- o To support the provision of street intervention services to child victims of sexual exploitation and to assess the effectiveness of this service provision through the collection of evaluation data.
- o To develop an effective training curriculum and technical assistance for law enforcement officials, school officials and victim service providers so that they may be better skilled at identifying, assisting and communicating with child victims of sexual exploitation.

### **Objectives:**

- o To provide street intervention services and school prevention work, in accordance with Paul and Lisa, Inc., techniques and as reflected in the Paul and Lisa, Inc., operating manual.
- o To collect data and information to document and evaluate the effectiveness of the street intervention activities conducted under objective one; activities which will serve as a fundamental basis for the development of curriculum content and technical assistance, described below.
- o To develop a training curriculum and technical assistance package for law enforcement personnel, victim service providers and school officials, in cooperation with the Missing Children's Community Action Plan (MCAP) contractor.
- o To pre-test the training curricula at a MCAP Test Site--Tampa, Florida.
- o To modify the curricula based on the results of the pre-test.
- o To develop a plan to provide technical assistance to law enforcement officials, school officials and victim service providers.

**Program Strategy:** The first phase of the project, the street intervention/school prevention and data collection phase, will be conducted throughout the duration of the cooperative agreement. The Paul and Lisa staff responsible for implementing the street intervention phase will, based on their experience and collected documentation of their techniques, work cooperatively with a MCAP contractor to implement phase two of the project; the development of a training and technical assistance program for law enforcement, victim service providers and school officials. Phase III of the project will consist of a curriculum pre-test and an evaluation of the grant products at a designated MCAP demonstration site.



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### Phase I - Street Intervention and School Prevention Services

The first phase of the program consists of the continuation of the Paul and Lisa, Inc. street intervention and school prevention work; the provision of data for curriculum and training assistance development. The services and products to be provided at this stage are:

- o The provision of street intervention services to child victims of sexual exploitation, many of whom are prostitutes, runaways and missing children. Such services consist of counseling and other assistance necessary to encourage the children to end their victimization. In addition, school prevention presentations will be made to deter those children, who are at risk of becoming victimized.
- o Collection and analysis of descriptive data on Paul and Lisa, Inc.'s intervention and prevention services.

### Phase II - Training and Technical Assistance Activities

During the street intervention/school prevention and data collection stage, the recipient and the MCAP contractor will formulate plans for developing the training curricula and technical assistance package. Based on the results of Phase I, the recipient and MCAP contractor will work cooperatively to convert the program operation manual (developed under a prior grant), data, and related materials into training and technical assistance packages. A comprehensive training manual must be developed to encourage and facilitate package dissemination.

The products to be completed during this phase are:

- o Plan for the development of the training and technical assistance package for law enforcement, victim service providers and school officials;
- o Identification of the training and technical assistance personnel for each trainee audience;
- o A draft and final training and technical assistance package, including a training manual and information materials; and
- o Strategies for the pre-test and evaluation of the training and technical assistance package.

### Phase III - Pilot and Evaluation of the Training and Technical Assistance Package

The grantor and a MCAP contractor will implement the training and technical assistance curriculum at the designated MCAP pre-testing site before a selected trainee audience. An evaluation of the pre-test will be conducted, and the package will be refined, accordingly.

The products to be completed during this phase are:

- o A pilot training event for an audience consisting of law enforcement, victim service providers and school officials; and
- o An evaluation of the pilot training event and recommendations for package refinements.

**Eligibility:** Paul and Lisa, Inc., is invited to submit an application to continue this program.

**Selection Criteria:** The application will be reviewed based on the following weighted criteria:

- |    |                                     |           |
|----|-------------------------------------|-----------|
| A. | Organizational Capability.          | 20 points |
| B. | Soundness of the Proposed Strategy. | 30 points |

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- C. Qualifications of the Project Staff. 20 points
- D. Clarity and Appropriateness of the Program Implementation Plan. 20 points
- E. Budget. 10 points

**Award Period:** The award will be for a 24-month period.

**Award Amount:** Up to \$150,000 will be available for this program.

**Due Date:** As a joint BJA/OVC program, this announcement was published in the BJA application kit and has a due date of 60 days from the date of that publication, February 20, 1991, which establishes a due date of April 22, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Pamela Swain, Director, Discretionary Grant Program Division, (202) 514-5497.

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## OFFENDER SUPERVISION AND VICTIM RESTITUTION PROJECT

**Purpose:** The purpose of this program is to develop a model training curriculum to improve the response of probation and parole personnel to the needs of crime victims, with emphasis on the management of restitution.

**Background:** The project will collect and analyze information on existing probation and parole supervision practices related to protecting victims and providing victim services (including restitution) for purposes of developing a model curriculum and incorporating it into actual case management systems through training. Probation and parole officials are in a unique position to: (a) assess the psychological, physical and economic impact of crime upon victims and provide this information to the courts; (b) monitor and supervise offender compliance with restitution requirements; and, (c) notify victims of changes in offender status. The promotion of restitution as part of a criminal sanction, the enforcement of notification requirements and the provision of a viable enforcement mechanism will enhance the image and operations of probation and parole practices, while serving the needs of victims.

Crime exacts a tremendous economic cost. In the vast majority of cases, it is the victim, not the offender, who eventually shoulders this burden. This is unjust. The concept of personal accountability for the consequences of one's conduct, and the allied notion that the person who causes the damage should bear the cost are at the heart of civil law. It should be no less true in criminal law. For these reasons, this program's purpose is to train probation and parole personnel to better serve crime victims, placing emphasis on assessing the impact of crime upon victims and the management of restitution.

### **Goals:**

- o To disseminate effective strategies for providing services to crime victims.
- o To evaluate the effectiveness of the program.

### **Objectives:**

- o To provide training to selected States.
- o To disseminate the products of the program to the field.
- o To evaluate the effectiveness of the training.

**Program Strategy:** This solicitation invites an application from the American Probation and Parole Association/Council of State Governments to provide training to probation and parole agencies, based on a curriculum developed during the first stage of the program.

The products to be completed include:

- o A plan for providing training to selected States nationwide;
- o Revisions to the training curriculum as necessary and development of an evaluation strategy;
- o Identification of training and technical assistance personnel;
- o An evaluation design;
- o Implementation of the training strategy; and
- o A report on the results of the evaluation.

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**Eligibility Requirements:** The American Probation and Parole Association/Council of State Governments is invited to submit an application to continue this program. Eligibility is contingent upon satisfactory work performance and product development under any prior/pending OVC/BJA grants.

**Selection Criteria:** The application will be reviewed based on the extent to which it meets the following weighted criteria.

- |    |                                                                 |           |
|----|-----------------------------------------------------------------|-----------|
| A. | Organizational Capability.                                      | 20 points |
| B. | Soundness of the Proposed Strategy.                             | 30 points |
| C. | Qualifications of the Project Staff.                            | 20 points |
| D. | Clarity and Appropriateness of the Program Implementation Plan. | 20 points |
| E. | Budget.                                                         | 10 points |

**Due Date:** As a joint OVC/BJA program, this announcement was published in the BJA application kit and has a due date of 60 days from the date of that publication, February 20, 1991, which establishes a due date of April 22, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Jody Foreman, Program Manager, Corrections Branch, (202) 514-5943.

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## CORRECTIONS-BASED VICTIMS ASSISTANCE PROJECT

**Purpose:** The purpose of this program is to develop and provide training and technical assistance to State corrections personnel to improve the correctional system's response to the needs and rights of crime victims.

**Background:** The 1982 President's Task Force on Victims of Crime recognized that the treatment of crime victims should be improved at all points in the criminal justice process even after conviction, sentencing and incarceration of the offenders. Victim notification and participation in parole hearings were recognized as important and positive steps that affect the way victims feel about the criminal justice system. The American Correctional Association's (ACA) Task Force on Crime Victims has made 15 recommendations for the improvement of the treatment of crime victims from a corrections perspective. The recommendations fall within four major areas: (1) recommendations that involve direct services to victims; (2) recommendations that call for the development of victim assistance programs for correctional staff; (3) recommendations that involve training; and (4) recommendations that involve offender-directed programs. The purpose of this program is to implement the President's and the ACA's Task Force recommendations for the treatment of crime victims by the correctional system.

### **Goals:**

- o To disseminate strategies for improving the correctional system's response to crime victims.
- o To evaluate the effectiveness of the program.

### **Objectives:**

- o To provide training to selected States.
- o To disseminate the products of this program to the field.
- o To evaluate the effectiveness of the training.

**Program Strategy:** This solicitation invites an application from the National Victim Center Inc., (NVC) to provide training to correctional agencies, based on the curriculum, protocol and other related materials which were designed to improve victim services in corrections. The provision of these services were developed under a prior OVC/BJA (Bureau of Justice Assistance) grant to NVC.

The products to be completed include:

- o A plan for providing training nationwide;
- o Revisions to the training curriculum, protocol and other related materials, as necessary, and development of an evaluation strategy;
- o Identification of training and technical assistance personnel;
- o An evaluation design;
- o Implementation of the training strategy and the evaluation; and
- o A report on the results of the evaluation.

**Eligibility Requirements:** The NVC is invited to submit a continuation application. Eligibility is contingent upon satisfactory work performance and product development under any prior/pending OVC/BJA grants.

This includes:

- o Prior experience in the development and delivery of training or technical assistance.
- o Demonstrated knowledge of the issues associated with criminal justice handling of crime victims and

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- o service provision to victims.
  - o Demonstrated management and financial capability to manage a program of this size and scope.

**Selection Criteria:** The application will be reviewed based on the following weighted criteria:

- |    |                                                                 |           |
|----|-----------------------------------------------------------------|-----------|
| A. | Organizational Capability.                                      | 20 points |
| B. | Soundness of the Proposed Strategy.                             | 30 points |
| C. | Qualifications of the Project Staff.                            | 20 points |
| D. | Clarity and Appropriateness of the Program Implementation Plan. | 20 points |
| E. | Budget.                                                         | 10 points |

Additional information regarding application requirements and selection criteria is contained in the Application and Administrative Requirements section of this publication.

**Award Period:** This award will provide support for the implementation of the training activities over a 12- month period.

**Award Amount:** One Cooperative Agreement of up to \$200,000 will be awarded for this program.

**Due Date:** As a joint OVC/BJA program, this announcement was published in the BJA application kit and has a due date of 60 days from the date of that publication, February 20, 1991, which establishes a due date of April 22, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Jody Foreman, Program Manager, Corrections Branch, (202) 514-5943.

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## LEGAL REMEDIES FOR CRIME VICTIMS

**Purpose:** The purpose of this program is to develop a manual and to train non-lawyer victim service providers and practitioners to assist violent crime victims in understanding their legal rights and remedies against perpetrators and determining how and when to obtain qualified legal assistance in appropriate cases.

**Background:** The commission of a crime detrimental to an individual is generally sufficient cause for action against the perpetrator. Also, a conviction is usually sufficient to support the success of a civil action brought to court on behalf of a crime victim. Additionally, civil litigation is a means by which justice is achieved and compensation by the victim for loss of property or the cost of medical treatment is obtained. This program provides a clear explanation of the civil litigation process to crime victims and helps place civil litigation within their grasp.

**Goals:**

- o To disseminate effective strategies for assisting crime victims in seeking legal remedies.
- o To evaluate the effectiveness of the program.

**Objectives:**

- o To develop a strategy for providing training to victim service providers.
- o To develop a curriculum effectively conveying the content of a companion manual.
- o To provide training nationwide.
- o To evaluate the effectiveness of the training.

**Program Strategy:** This solicitation invites an application from the National Victim Center, Inc. (NVC) to develop a curriculum and provide training to crime victim service providers, based on the manual developed by NVC under the first stage of this project with support from Office for Victims of Crime.

The products to be completed include:

- o A plan for providing training nation-wide;
- o Development of a training curriculum, based on the "Civil Legal Remedies of Victims Against Perpetrators" manual, and an evaluation strategy;
- o Identification of training and technical assistance personnel;
- o Evaluation design;
- o Pretest and refinement of the curriculum;
- o Implementation of the training strategy; and
- o A report on the results of the evaluation.

**Eligibility Requirements:** The National Victim Center is invited to submit an application to continue this program:

**Selection Criteria:** The application will be reviewed based on the following weighted criteria:

- |    |                                     |           |
|----|-------------------------------------|-----------|
| A. | Organizational Capability.          | 20 points |
| B. | Soundness of the Proposed Strategy. | 30 points |

- 
- C. Qualifications of the Project Staff. 20 points
- D. Clarity and Appropriateness of the Program Implementation Plan. 20 points
- E. Budget. 10 points

**Award Period:** This award will provide support for the implementation of the training activities over a 12-month period.

**Award Amount:** Up to \$200,000 has been allocated for the training, and one cooperative agreement will be awarded.

**Due Date:** As a joint OVC/BJA program, this announcement was published in the BJA application kit and has a due date of 60 days from the date of that publication, February 20, 1991, which establishes a due date of April 22, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Jody Foreman, Program Manager, Corrections Branch, (202) 514-5943.



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## NATIONAL VICTIMS RESOURCE CENTER

**Purpose:** The purpose of this program is to disseminate crime victim-related information to criminal justice professionals, victim service providers, policymakers, researchers, and crime victims through the continued operation of the national clearinghouse, the National Victims Resource Center (NVRC).

**Background:** BJA has provided support for the collection and maintenance of information developed by grantees funded under the Victims of Crime Act of 1984. Publications related to crime victims issues are disseminated to victim service providers, criminal justice professionals, policymakers, crime victims and others.

**Goal:**

- o To provide crime victim-related information to criminal justice professionals, victim service providers, policymakers, researchers, and crime victims.

**Objectives:**

- o To maintain a collection of current information on crime victim issues.
- o To prepare information in a format that is useful to State and local officials.
- o To respond to requests from the field for information on crime victims.

**Program Strategy:** The NVRC collects, maintains, and disseminates information about national/State/local victim-related organizations, as well as information on State programs that receive funds authorized by the Victims of Crime Act.

**Eligibility Requirements:** The NVRC is a component of the National Criminal Justice Reference Service. Eligibility is contingent upon satisfactory work performance and product development under any prior/pending OVC/BJA grants.

**Selection Criteria:** The NCJRS contract presently is awarded/acquired through a competitive process managed by the National Institute of Justice on behalf of the member agencies of the Office of Justice Programs. The award for NVRC will be a component of the parent contract.

**Award Period:** Program funding will be for 12 months.

**Award Amount:** Up to \$150,000 will be available for this contract.

**Due Date:** The date of the award will be dependent upon the completion of the contract process for the NCJRS.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Pamela Swain, Director, Discretionary Grant Program Division, (202) 514-5497.

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## TECHNICAL ASSISTANCE AND TRAINING IN HELP FOR VICTIMS OF DRUG-RELATED CRIME

**Purpose:** The purpose of this program is to develop training materials and provide technical assistance to enhance the capability of victim service organizations to treat victims of drug-related crime.

**Background:** One of the great tragic consequences of widespread drug abuse in the Nation today is the impact on victims of drug-related crime. As emphasized in the "National Drug Control Strategy," drug dealers harass, intimidate, and assault pedestrians. They entice and coerce children to join their ranks. Crack houses accelerate the deterioration of already rundown residential blocks. Parks and public spaces have become havens for illicit activity. In such neighborhoods, drugs are sold freely and openly, and buyers have no fear of criminal sanctions. Residents are left alone with the task of protecting their lives and property, while trying to keep their children away from a life of drug use. The purpose of this program activity is to enhance the ability of victim service organizations to assist victims of drug-related crime and thereby, improve the lives of those living in high drug- crime neighborhoods.

**Goals:**

- o To disseminate strategies for improving services to victims of drug-related crime.
- o To evaluate the effectiveness of the program.

**Objectives:**

- o Provide training and technical assistance to selected sites.
- o Disseminate the products of this program to the field.
- o Evaluate the effectiveness of the training.

**Program Strategy:** This solicitation invites an application from the National Organization for Victim Assistance, Inc., to provide training to crime victim service providers, based on a curriculum developed under the first stage of this program.

The products to be completed include:

- o A plan for providing training and technical assistance;
- o Revisions to the training curriculum, as necessary, and development of an evaluation strategy;
- o The identification of training and technical assistance personnel;
- o An evaluation design;
- o Implementation of the training and technical assistance strategy; and
- o A report on the results of the evaluation.

**Eligibility Requirements:** The National Organization for Victim Assistance, Inc., is invited to submit a continuation application for this program. Eligibility is contingent upon satisfactory work performance and product development under any prior/pending OVC/BJA grants.

**Selection Criteria:** The application will be reviewed based on the following weighted criteria:

- |    |                                     |           |
|----|-------------------------------------|-----------|
| A. | Organizational Capability.          | 20 points |
| B. | Soundness of the Proposed Strategy. | 30 points |

- 
- 
- C. Qualifications of the Project Staff. 20 points
- D. Clarity and Appropriateness of the Program Implementation Plan. 20 points
- E. Budget. 10 points

**Award Period:** This award will provide support for the implementation of training activities over a 12- month period.

**Award Amount:** Up to \$150,000 has been allocated for the training, and one cooperative agreement will be awarded.

**Due Date:** As a joint OVC/BJA program, this announcement was published in the BJA application kit and has a due date of 60 days from the date of that publication, February 20, 1991, which establishes a due date of April 22, 1991.

**Contact:** For further information contact Victoria O'Brien, Acting Director, Special Projects Division, OVC, (202) 514-6444.

The BJA contact is Jody Foreman, Program Manager, Corrections Branch, (202) 514-5943.

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## **APPENDIX: 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
<b>5. APPLICANT INFORMATION</b>			
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> [ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b> <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> [ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] TITLE: _____		<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>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ .00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
g. TOTAL	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED</b>			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTIONS FOR THE SF 424

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

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

# BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

## SECTION A — BUDGET SUMMARY

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

## SECTION B — BUDGET CATEGORIES

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

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
<b>12. TOTALS (sum of lines 8 and 11)</b>	\$	\$	\$	\$

**SECTION D - FORECASTED CASH NEEDS**

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
<b>15. TOTAL (sum of lines 13 and 14)</b>	\$	\$	\$	\$	\$

**SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT**

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
<b>20. TOTALS (sum of lines 16 -19)</b>	\$	\$	\$	\$

**SECTION F - OTHER BUDGET INFORMATION**  
(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
---------------------	-----------------------

23. Remarks



## INSTRUCTIONS FOR THE SF-424A

### General Instructions

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

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

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

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

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

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

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

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

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

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

**Line 5** — Show the totals for all columns used.

### Section B Budget Categories

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

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

**Line 6j** — Show the amount of indirect cost.

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

## INSTRUCTIONS FOR THE SF-424A (continued)

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

### Section C. Non-Federal-Resources

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

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

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

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

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

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

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

### Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

### Section F. Other Budget Information

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

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

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

## SPECIAL INSTRUCTIONS

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

## INSTRUCTIONS

### PROGRAM NARRATIVE

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

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

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

#### 2. RESULTS OR BENEFITS EXPECTED.

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

#### 3. APPROACH.

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

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

#### 4. GEOGRAPHIC LOCATION.

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

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

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in Attachment K to OMB Circular A-102 (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.

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-102, A-110, A-122, A-128, and A-87, and E.O. 12372, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

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



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)

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

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

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

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

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

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

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 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 for public burden disclosure.)

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

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

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

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

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



**DISCLOSURE OF LOBBYING ACTIVITIES**  
**CONTINUATION SHEET**

Approved by OMB  
0348-0046

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS

**ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE**

**SECTION A: PURPOSE**

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the OJP guideline manual entitled, "Financial and Administrative Guide for Grants."

- (1) Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant, for each action program covered by a State's grants and for each subgrant awarded by the State.
- (2) Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
- (3) The accounting system should provide accurate and current financial reporting information.
- (4) The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

**SECTION B: GENERAL**

1. If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

a. When was the organization founded/incorporated? <i>(month, day, year)</i>	b. Principal Officers	Titles
c. Employer Identification Number:	_____	_____
d. Number of Employees	_____	_____
Full Time:            Part Time:	_____	_____
2. Is the firm affiliated with any other firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If "yes", provide details:		3. Total Sales/Revenues in most recent accounting period. <i>(12 months)</i> \$ _____

**SECTION C: ACCOUNTING SYSTEM**

1. Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants?  YES  NO

a. If yes, provide name and address of Agency performing review:	b. Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.
Note: If review occurred within the past three years, omit questions 2-9 of this Section and Section D.	

2. Which of the following best describes the accounting system?     Manual     Automated     Combination

3. Does the organization use a double-entry system in accounting for program funds?     Yes     No     Not Sure

4. Does the accounting system identify the receipt and expenditures of program funds separately for each contract/grant?     Yes     No     Not Sure

5. Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget?     Yes     No     Not Sure

6. Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective?     Yes     No     Not Sure

7. If the organization proposes an overhead rate, does the accounting system provide for the segregation of direct and indirect expenses?     Yes     No     Not Sure

8. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure
b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Not Sure

9. Is the firm generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal contracts/grants?     Yes     No     Not Sure

**SECTION D: FUND CONTROL**

- 1. Is a separate bank account maintained for grant/contract funds?  Yes  No  Not Sure
- 2. If Federal grant/contract funds are commingled with organization funds, can the Federal grant funds and related costs and expenses be readily identified?  Yes  No  Not Sure
- 3. Are the officials of the firm bonded?  Yes  No  Not Sure

**SECTION E: FINANCIAL STATEMENTS**

- 1. Did an independent certified public accountant (CPA) ever examine the financial statements?  Yes  No
- 2. If an independent CPA review was performed please provide this office with a copy of their latest report and any management letters issued.  Enclosed  N/A
- 3. If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:
- 4. If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements:
  - a. A detailed "Balance Sheet" for the most current and previous year; and
  - b. A detailed "Income Statement" for the most current and previous year.

**SECTION F: ADDITIONAL INFORMATION**

- 1. Use this space for any additional information (*indicate section and item numbers if a continuation*)

**SECTION G: APPLICANT CERTIFICATION**

I certify that the above information is complete and correct to the best of my knowledge.

1. Signature	b. Firm Name, Address, and Telephone Number
a. Title	c. Application Identifier Number

**SECTION H: CPA CERTIFICATION**

The purpose of the CPA certification is to assure the Federal agency that the recipient can establish fiscal controls and accounting procedures which assure that Federal and State/local funds available for the conduct of the grant programs and projects are disbursed and accounted for properly.

1. Signature	b. Firm Name, Address, and Telephone Number
a. Title	