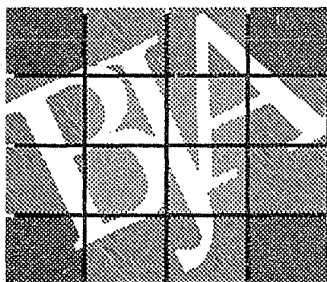
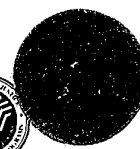


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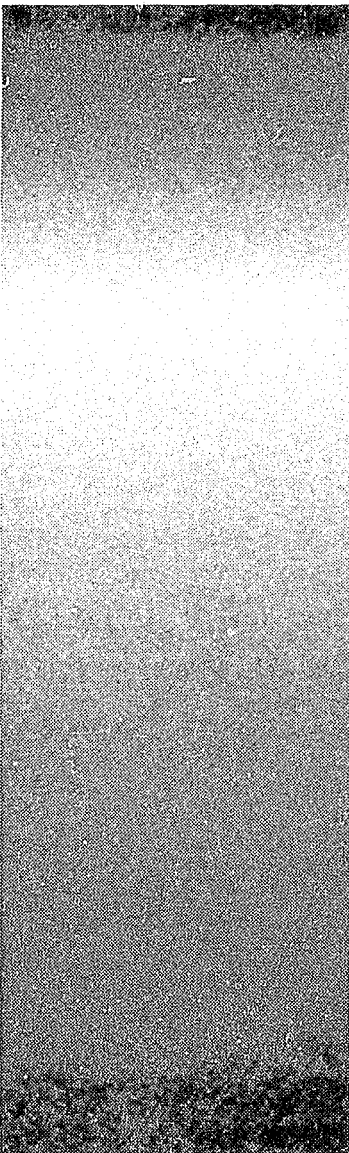
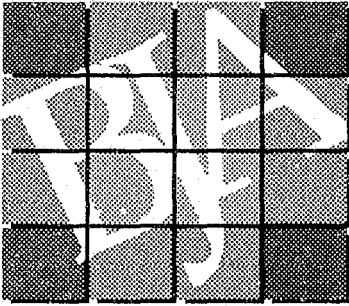
Bureau of Justice Assistance

**Edward Byrne Memorial
State and Local
Law Enforcement
Assistance Program**

139581

**FY 1993 DISCRETIONARY
PROGRAM APPLICATION KIT**

139581



Bureau of Justice Assistance

Edward Byrne Memorial State and Local Law Enforcement Assistance Program

139581

J.S. Department of Justice
National Institute of Justice

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FY 1993 DISCRETIONARY PROGRAM APPLICATION KIT

December 28, 1992

NCJ 139581

Bureau of Justice Assistance
633 Indiana Avenue N.W., Washington, DC 20531
(202) 514-6278

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

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Introduction

Pursuant to the Bureau of Justice Assistance (BJA) fiscal year 1993 Discretionary Grant Program Plan Summary (*Federal Register*, November 9, 1993, Vol. 57, No. 217, page 53351), this application kit solicits applications for programs to implement the Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grant Program, authorized by Sec. 510 *et seq.* of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3760 *et seq.* (hereafter referred to as "The Act"). This program is administered by the Bureau of Justice Assistance (BJA), a component of the Office of Justice Programs, U.S. Department of Justice.

This Discretionary Grant Program is designed to develop the range of effective programs, practices, and strategies that can enhance the capability of State and local criminal justice practitioners to control drugs and violent crime and to improve the criminal justice system. This is accomplished through demonstration programs, evaluations of new programs and strategies, and the provision of training and technical assistance.

The programs described in this application kit are competitive. Awards will be made to organizations and agencies that offer the greatest potential for achieving the objectives outlined in the program descriptions. Awards will be made on the basis of the information contained in the applications received. Anticipated award amounts are indicated at the end of each program description.

The Discretionary Grant Program plan is designed to promote coordination and cooperation among State and local agencies, to encourage community involvement in drug and crime control activities, and to provide guidance for leveraging other sources of funds, such as BJA formula grant monies, which are made available to each of the States. Areas of focus include Community Policing and Innovative Law Enforcement; Crime and Drug Abuse Prevention; Enhanced Prosecution, Adjudication, and Corrections; Intermediate Sanctions, Drug Testing, and Offender Accountability; Multijurisdictional Task Forces and Complex Financial Investigations; Research and Evaluation; Victims; Violent Crime and Gangs; and Statistics, Information Systems, and Technology.

The Formula Grant Program complements the Discretionary Grant Program as part of the Edward Byrne Memorial State and Local Law Enforcement Assistance Program. Under the Formula Grant Program, each State receives an award based primarily on total population. These funds are awarded to and administered by an agency, designated by the Governor, which sets priorities for the funds and makes subawards to State and local agencies. The State is required to submit to BJA an annual strategy identifying the criminal justice priorities and needs of State and local governments, but once the block funds are awarded, the State determines which programs and applicants to fund in order to implement the approved strategy. States are encouraged to develop joint efforts with the BJA discretionary initiatives by allocating formula funds to support programs proposed in response to the announcements in this kit.

BJA strongly urges, therefore, applications from a broad range of public and private organizations, including those who have not previously received an award, in responding to the discretionary solicitations described in this publication.

Application and Administrative Requirements

Eligible Applicants

Applications are invited from public and private organizations as delineated in each program solicitation. Private, for-profit organizations, if eligible, must waive their fee. 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. Applicants must also demonstrate that they have the management and financial capabilities to implement effectively a project of the size and scope described.

Application Requirements

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

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

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

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

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

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

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

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

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

Application Content and Review Criteria

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

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

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

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

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

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

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

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

Review Process

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

Evaluation

Each funded program must contain an evaluation component as required by Section 501(c) of the Anti-Drug Abuse Act of 1988, 42 U.S.C. 3751(c). The applicant should refer to the guidelines established by the National Institute of Justice (NIJ) in consultation with BJA for the evaluation of programs funded under the Discretionary Grant Program entitled *Evaluating Drug Control and System Improvement Projects: Guidelines for Projects Supported by the Bureau of Justice*

Assistance. Copies of the *Guidelines* are available from the National Criminal Justice Reference Service at 1-800-851-3420 or the BJA Clearinghouse at 1-800-688-4252.

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

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

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

Financial Requirements

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

Civil Rights Requirements

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

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

Audit Requirement

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

Institutions of higher education, hospitals, and other nonprofit organizations are responsible for providing an audit of their activities not less than every 2 years in accordance with OMB Circular A-133. The required audits are to be on an organization-wide basis rather than on a grant-by-grant basis.

Disclosure of Federal Participation

Section 623 of Public Law 102-141 requires that, for awards of \$500,000 or more, "when issuing statements, press releases for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, and (2) the dollar amount of Federal funds for the project or program."

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

Applicants should refer to the regulations cited in OJP Form 4061/6 (3-91) to determine the certification to which they are required to attest. A copy of the form is provided in Appendix B of this application kit. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications will be treated as a material representation of fact upon which reliance will be placed by the Department of Justice in awarding grants.

Suspension or Termination of Funding

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

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

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

Regional Drug Prosecution Program

PURPOSE: The purpose of this program is to demonstrate the effectiveness of regional drug prosecution units (RDPU) operating under the combined authority of several local elected prosecutors.

BACKGROUND: Multijurisdictional RDPU's may have the potential to develop long-term investigations that focus on mid-to-upper-level local or regional narcotics distributors, effectively filling the gap between prosecution of street-level dealers and high-level urban traffickers with direct access to international narcotics sources. By establishing prosecutorial policies and enforcement priorities throughout the defined region, the prosecutor-led approach will promote State and local drug task force operations. This proactive approach is based on a dual role of prosecutors, viz. directing the vigorous enforcement of drug abuse laws to reduce supply and leading community efforts to discourage drug abuse and reduce demand.

The RDPU operates under the combined authority of several (a minimum of two and as many as six) local elected prosecutors (organized as a policy board) and composed of experienced drug prosecutors and expert investigative personnel representing local and county enforcement agencies. Directed by a prosecutor and operating within a region defined by the contiguous jurisdictions of participating elected prosecutors, the RDPU is intended for use against criminal enterprises engaging in illegal drug trafficking, distribution, and other illicit activity and to seize and forfeit the physical and financial assets of an organization engaged in illegal drug distribution and related activities.

GOALS: The goals of this program are:

- To assess the regional drug prosecution units;
- To implement effective drug prosecution units;
- To evaluate and document the effectiveness and replicability of the prototype units in the demonstration sites; and
- To disseminate the results of the demonstration.

OBJECTIVES: The objectives are:

- To identify and assess regional drug task force units operating under the local prosecutor's leadership;
- To develop a prototype regional drug prosecution unit;
- To develop training and technical assistance materials for transfer of the prototype to selected sites;
- To provide training and technical assistance to the pilot demonstration sites;

- To evaluate the results of the pilot demonstration and refine the prototype; and
- To disseminate the results of the demonstration.

PROGRAM DESIGN: The RDPU to be demonstrated through this program contains certain structural components designed to be either integrated into an existing task force or to form the core of a newly established RDPU. Seven basic components are described below. Applicants are requested to discuss how the components of the RDPU would be integrated into an existing task force, or how their offices would organize a new task force around each component of the RDPU, and why the jurisdictions included in their proposed region are conducive to or supportive of implementing the RDPU.

The prototype calls for two to six elected prosecutors, acting in concert as a policy board, both to determine the prosecution priorities within the region defined by their jurisdictions and to formulate a strategy to carry out the priorities. The RDPU should be directed by an experienced prosecutor who may be either an elected prosecutor or a senior assistant prosecutor. Upon determination by the elected prosecutors of the enforcement priorities for the region, each elected prosecutor should identify an assistant prosecutor(s) with the experience necessary to prosecute crimes identified as priorities.

The RDPU is composed of at least one prosecutor from each jurisdiction and coordinated by the RDPU Director. It is not required, however, that the RDPU prosecutors be "detailed" away from their respective office or otherwise assigned to a central RDPU office. These individuals have the specialized knowledge and skills necessary to prosecute the priorities in the region. The designated RDPU prosecutor(s) should be selected on the basis of having one or more specialized skills necessary such that, when combined under the RDPU, they possess a comprehensive ability to prosecute a variety of crimes throughout the region. The RDPU Director coordinates the prosecutors assigned to handle the RDPU's cases. The elected prosecutors must define the drug enforcement prosecution policies and priorities for the region, and gain support from their respective law enforcement agencies to pursue the priorities in developing a comprehensive strategy.

The RDPU will include the following components:

- **Directing Agency.** The directing agency (most likely, the grant applicant) is the office of the elected prosecutor from which the RDPU will operate. The RDPU is directed by either an elected prosecutor or a senior assistant prosecutor. The RDPU Director coordinates with the elected prosecutors of the region to ensure that the prosecution priorities are clearly defined and the strategy is appropriately developed to enforce the priorities. Discussion of this component should consist of a brief overview of the region's primary drug trafficking and distribution problem, as well as its effects upon the communities in the region.
- **Management of the RDPU by the Directing Agency.** This component should include discussion of the anticipated role and responsibilities of the RDPU Director, including coordination of the prosecutors from the various jurisdictions (designated

or selected on the basis of specialized skills) and coordination with investigative personnel from local and county law enforcement agencies as well as with other existing task forces that may be in operation. The responsibilities of the RDPU Director also include implementing the RDPU's policies and procedures, serving as the principal point of contact with law enforcement agencies and community leaders, overseeing RDPU investigations, coordinating prosecutorial and administrative functions, and managing Federal grant funds.

- **Problem Analysis and Planning.** The RDPU Director must collect, process, and utilize information concerning narcotics trafficking and distribution on a regional basis. Applicants should provide a description of how the RDPU gathers, analyzes, and applies the intelligence necessary to accomplish the prosecution priorities, how such information would be centrally collected, and how it would be shared with the offices of elected prosecutors and representatives of law enforcement agencies participating in the RDPU. Applicants should also discuss their present method for tracking narcotics investigations and cases, including asset seizure, forfeiture, and sharing of forfeiture proceeds; as well as the civil and criminal statutes and other regulatory or administrative tools available that can be used against regional narcotics traffickers.
- **Strategic Planning Functions.** Prosecution priorities and enforcement operations must be supported by a strategy or plan with goals, measurable objectives, and specific project activities and products designed to reduce supply and demand within the region. Applicants should provide a description and/or organizational chart of the RDPU structure. Applicants should also include a discussion of their present method for targeting and prosecuting narcotics offenses (indicating whether this criteria would be modified under the RDPU) as well as for developing or analyzing pre-seizure and post-seizure information. Applicants should indicate the potential for utilizing information obtained from the U.S. Department of Treasury's Financial Crimes Enforcement Network ("FinCEN") through their FinCEN-designated State Coordinator.
- **Creative Enforcement Methods.** The RDPU Director should be able to apply both traditional and innovative enforcement methods effectively and develop and apply new or experimental methods of drug enforcement for RDPU operations.
- **Investigative Personnel.** The RDPU establishes a close working relationship with key investigative personnel representing local and county enforcement agencies and existing task forces. Discussion of this component focuses on ensuring that the RDPU would be supported by the local and county law enforcement investigative agencies' personnel by defining their anticipated roles in the RDPU. Applicants are encouraged to consider whether inclusion of Federal and State enforcement agents would advance the RDPU priorities. The participating jurisdictions' elected prosecutors (serving as a policy board) are responsible for resolving interjurisdictional conflicts and disputes that may arise between agencies participating

in the RDPU. Resolution of unresolved disputes that materially affect the project's performance will be the responsibility of the BJA program Manager.

- **Open Forums.** The RDPU Director will require an open line of communication both to law enforcement agencies and to community groups in the region to target narcotics supply and to reduce demand. This component should focus on how the RDPU would identify and establish forums with representatives from Federal and State law enforcement agencies and community groups for discussion of issues concerning intelligence-sharing and drug problem areas relevant to the region.

PROGRAM STRATEGY: This solicitation invites applications from elected local prosecutors to demonstrate the prototype RDPUs (see the Program Development Stage below) developed by the American Prosecutors Research Institute's (APRI) National Drug Prosecution Center, which is the research arm of the National District Attorneys Association. APRI Center research staff have extensive experience in documenting and evaluating activities associated with the creation, planning, and operations of prosecutor-led, multijurisdictional narcotics task forces. In addition to providing overall program guidance and technical assistance to the prosecutors' offices selected by BJA for the demonstration of RDPU's, the APRI Center research staff will assist with development of the structure of the RDPU and its operational procedures to achieve the drug enforcement and prosecution priorities identified by the elected prosecutors. Under a separate solicitation, an application will be invited from APRI to support, evaluate, and document the two RDPUs (see the Program Implementation Stage below).

This project will demonstrate the coordination of multijurisdictional prosecutorial and investigative resources and prioritize cases involving regional narcotics traffickers. The participating elected prosecutors are required to form a governing body to establish operational policies; to identify regional narcotics patterns and associated problems; to establish prosecution priorities; and to target, investigate, and prosecute narcotics trafficking organizations in the region. Grant recipients are required to incorporate the components (as identified herein) of the prototype RDPU into the design and development of the task force to operate in their region. The BJA grant provides partial support for the planning, organization, implementation, and evaluation of the prototype RDPU.

This program will be implemented in three stages:

Stage I - Assessment

The first stage of this program consists of an assessment of multijurisdictional cooperation among elected prosecutors at the policy and operational levels and evaluation of the impact of the RDPUs upon narcotics traffickers operating within the defined region. This includes an assessment of existing State legislation, policies, procedures, and practices for investigating and prosecuting narcotics and related crimes. The application should include a preliminary plan for conducting this assessment. The products to be completed in this stage are:

- A plan specifying how the assessment will be conducted; and
- A draft and final assessment report which addresses, to the extent possible, the nature of the regional drug trafficking problem, resources currently dedicated to prosecution of narcotics and related crimes, and recommendations for implementing the prototype RDPU.

Stage II - Program Development

Since the competitively selected demonstration sites will design their plan for implementing and evaluating the prototype, an explanation of this plan should be included in the Application. The plan must:

- Identify the individual(s) to be responsible for design of the program (i.e., adaptation of the prototype) and for implementation of the program;
- Specify the responsibilities of the unit;
- Outline the unit's primary investigatory and prosecutorial objectives and tasks;
- Provide a schedule of proposed dates for such tasks to be accomplished; and
- Discuss how each task would be accomplished, including the internal and/or external resources to be used.

The products to be completed in this stage are:

- A plan for designing the program and developing an implementation strategy;
- A draft and final program design and implementation strategy; and
- A program evaluation design to capture the results of the demonstration.

Stage III - Program Implementation

Upon successful completion of the Program Development Stage, the project may begin implementation activities. Products to be completed in this stage are:

- The operational program;
- A report on the evaluation of the prototype implementation process; and
- Recommendations for refining the prototype RDPU.

ELIGIBILITY REQUIREMENTS: In accordance with the requirements in the Application and Administrative Requirements section in this document, applications are invited from local prosecutors' offices.

SELECTION CRITERIA: Applicants should describe why their jurisdiction is suitable for demonstrating the prototype unit that incorporates the components described above. An overview

of the problem(s) and current responses should be included in the application. This preliminary statement should address to the extent possible (but need not be limited to):

- The identity and extent of illegal drugs manufactured or distributed;
- A profile of the relevant trafficking or distribution area(s) or pattern(s) and a general discussion of the organization(s) suspected of involvement;
- The impact of trafficking and drug-related crime upon the community;
- A review of the enforcement strategies and their effect to date on prevention and control of illegal drug manufacturing and trafficking;
- A review of the prosecutor offices, law enforcement, and other agencies that would compose the region's RDPU;
- A review of the statutes available for supply reduction and community resources or treatment and diversion programs used for demand reduction;
- A review of community efforts to date to work with enforcement authorities to reduce supply and demand;
- A demonstrated capability to coordinate with other prosecutions; and
- Recommendations for implementing the prototype RDPU.

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

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

AWARD PERIOD: These grant awards will be for a 12-month period.

AWARD AMOUNT: Grant awards of up to \$200,000 will be awarded to two demonstration projects.

DUE DATE: Applications must be postmarked no later than 120 days from the date of this publication.

CONTACT: For further information, contact Charles M. Hollis, Chief, Prosecution Branch, (202) 514-5947.

Financial Investigations and Money Laundering Prosecution Demonstration Program

PURPOSE: The purpose of this program is to demonstrate a prototype State and local financial investigations and money laundering prosecution unit capable of seizing and forfeiting the financial assets and other ill-gotten profits realized by sophisticated criminal enterprises engaged in illegal drug trafficking and related illicit activities. The BJA grant is intended to provide support for the planning, organization and implementation of the prototype money laundering prosecution units.

BACKGROUND: The Financial Investigations and Money Laundering Demonstration Prosecution Demonstration Program is an outgrowth of previously BJA-funded programs (e.g., the Civil RICO Drug Enforcement Program and the Financial Investigations and Money Laundering Prosecution Technical Assistance Program) that focused on approaches to investigating and prosecuting drug trafficking enterprises; tracing, seizing, and forfeiting assets; and developing a prototype State or local money laundering investigations and prosecutions unit. The unit is designed to enhance State and local multijurisdictional and multi-agency cooperation in the investigation and prosecution of money laundering and other financial crimes. Based on a review of State statutes and regulations, a survey of existing State and local money laundering prosecution programs, and the recommendations of a joint working group of prosecutors from the National Association of Attorneys General (NAAG) and the National District Attorneys Association (NDAA), NAAG has developed a prototype money laundering investigation and prosecution unit. This prototype is described in a document entitled *Money Laundering Prosecution Program Manual* (herein referred to as *Program Manual*). BJA intends to demonstrate this prototype in up to three sites.

GOALS: The goals of this program are:

- To identify and assess existing multijurisdictional financial investigations and financial crimes and money laundering prosecution programs;
- To provide the capability to implement effective money laundering prosecution units in selected jurisdictions;
- To disseminate an effective money laundering prosecution program; and
- To evaluate the demonstration projects.

OBJECTIVES: The objectives are:

- To assess and document State and local prosecutors' leadership role in directing and coordinating complex financial investigations;
- To develop a prototype money laundering demonstration prosecution unit for the State and local level;
- To assist in the development of training and technical assistance materials;
- To evaluate the effectiveness of the prototype unit;
- To refine the *Program Manual* based upon the operational results of the demonstration prosecution units; and
- To disseminate the results of the demonstration.

PROGRAM DESIGN: The prototype money laundering prosecution unit demonstrated under this program will operate under the direction of a State Attorney General or local prosecutor's office in close cooperation with State and local law enforcement and regulatory agencies. In addition, operational support agreements should be developed with appropriate Federal agencies, particularly with the U.S. Treasury Department Financial Crimes Enforcement Network ("FinCEN") and with Treasury's Office of Financial Enforcement (OFE). The prototype demonstration unit will operate either as part of an existing financial crimes-type prosecution unit, or as a wholly separate unit.

The prototype includes the following components:

- **Directing Agency.** The directing agency (most likely the grant recipient) will implement the staffing recommendations in the *Program Manual*; establish policies to select cases to be investigated; allocate, focus, and manage project resources; and provide oversight or direction of project investigation efforts. There will be direct supervision by the unit chief or director. The unit will minimally require an experienced trial attorney, qualified financial investigators and/or analysts, and secretarial support. In addition, the unit must demonstrate a capability to utilize or act in concert with outside investigative resources, particularly with FinCEN to engage FinCEN's assistance in conducting financial research on particular targets, and with OFE in order to receive regularly and process Federal Bank Secrecy Act (BSA) reporting information in magnetic-tape format. As an alternative to receiving the BSA information on tape, the grant recipient could work with FinCEN to develop an electronic interface with the main Federal data base. The grant recipient would also work with FinCEN to use sophisticated software programs for identifying targeting offenders.
- **Strategic Planning Functions.** All financial investigative activities initiated by the unit must be based upon a formal investigative plan that details goals, objectives, activities, and contains an implementation plan. While demonstration sites are encouraged to draw upon Federal investigative resources and cooperate in multijurisdictional efforts, in order to enhance the role of State and local prosecutors

in combating money laundering, the demonstration unit is expected to rely on State law to prosecute money laundering cases.

- **Statutory Authority to Prosecute Money Laundering Offenses.** The State must have existing statutory and necessary regulatory authority which will enable this prototype to become fully operational. These authorizations should include a viable State money laundering statute and an effective statute making it a State offense to avoid currency reporting violations. A State financial reporting statute, similar to the Federal BSA, is necessary for the exchange of financial transaction information with the U.S. Treasury Department, as executed through a Memorandum of Understanding for information sharing with the U.S. Treasury's FinCEN and OFE to receive regularly and process Federal BSA reporting information in magnetic-tape format. Acceptable, but less desirable, for demonstration of this prototype is a State RICO (Racketeering Influenced Corrupt Organizations) statute which reaches Federal or State money laundering offenses. States that have such legislation and regulations pending before their respective State legislatures or with the U.S. Treasury agencies are also eligible to apply. If the applicant is not the designated FinCEN coordinator for their State, the applicant must confirm that either their office has or will establish a close working relationship with the State designated FinCEN coordinator.
- **Effective Forfeiture Laws.** A demonstrated capability to strip money launderers of their instrumentalities and illicit proceeds is critical to disrupting effectively a criminal enterprise's source of money.

PROGRAM STRATEGY: This solicitation invites applications from jurisdictions to serve as demonstration sites. Selected sites will implement and demonstrate a prototype financial investigations and money laundering prosecution program developed by NAAG in cooperation with NDAA. BJA will demonstrate this program in several competitively selected sites to determine its effectiveness and refine it, as necessary. These projects will seek to demonstrate an essential leadership role for State and local prosecutors in attacking intrastate money laundering activities resulting from illegal drug trafficking. Grant recipients are required to implement the prototype, which includes the components identified in the Program Design section of this solicitation and discussed in detail in the *Program Manual*.

This program will be implemented in three stages. Applicants are expected to explain their approach to accomplishing each of the stages explained below, rather than presenting a final program design in their application.

Stage I - Assessment

The first stage of this program consists of an assessment of existing State legislation, regulations, policies, procedures, and practices for investigating and prosecuting money laundering and other financial crimes. The application should include a preliminary plan for conducting this assessment. The products to be completed in this stage are:

- A plan specifying how the assessment will be conducted; and
- A draft and final assessment report that addresses, to the extent possible, the nature of the money laundering problem, resources currently dedicated to prosecution of financial crimes, and recommendations for implementing the prototype money laundering prosecution unit.

Stage II - Program Development

The competitively selected demonstration sites will design their strategy for implementing and evaluating the prototype; thus, an outline of the plan should be included in the application. The final design and implementation strategy must:

- Identify the individual(s) to be responsible for design of the program (i.e., adaptation of the prototype) and for implementation of the program;
- Specify the responsibilities of the unit;
- Outline the unit's primary investigatory and prosecutorial objectives and tasks; provide a schedule of proposed dates for such tasks to be accomplished; and
- Discuss how each task would be accomplished, including the internal and/or external resources to be used.

The products to be completed in this stage are:

- A plan for designing the program and developing an implementation strategy;
- A draft and final program design and implementation strategy; and
- A program evaluation design to capture the results of the demonstration.

Stage III - Program Implementation

Upon successful completion of the Program Development Stage, the project may begin with implementation activities. Products to be completed during this stage are:

- The operational program;
- A report on the evaluation of the prototype implementation process; and
- Recommendations for refining the prototype money laundering prosecution unit.

An application from NAAG for training and technical assistance to the BJA-selected demonstration sites will be invited under a separate solicitation. The individual demonstration sites are expected to assist in the development of training and technical assistance materials.

ELIGIBILITY REQUIREMENTS: In accordance with the requirements in the Application and Administrative Requirements section of this document, applications are invited from State Attorneys General and local prosecutors. Joint applications from a State Attorney General and a local prosecutor will also be eligible. Applicant organizations may choose to submit joint

proposals with other eligible organizations, as long as one organization is designated in the application as the primary applicant. In addition to the requirements set forth in the Application and Administrative Requirements section of this document, applicants must demonstrate they have the management and financial capability to implement effectively a project of this size and scope and must provide the State legislative and regulatory authority which addresses money laundering. Applicants must indicate if the legislation and regulations are authorized or pending.

SELECTION CRITERIA: Applicants should describe why their jurisdiction is suitable for demonstrating the prototype unit that incorporates the components described above. An overview of the problem(s) and current responses should be included in the application. This preliminary statement should address to the extent possible (but need not be limited to):

- The identity and extent of illegal money laundering;
- A profile of the relevant organizations, areas, or patterns and a general discussion of the organizations suspected of involvement;
- The impact of the financial crimes, money laundering, and related crimes upon the businesses, the economy, and the communities within the applicant's jurisdictions;
- A review of the enforcement strategies and their effect to date on prevention and control of financial crimes and money laundering;
- A review of the state and local investigation and prosecution that will be dedicated to this demonstration effort; a review of the statutes available for investigation and enforcement; and
- Recommendations for implementing the Financial Investigations and Money Laundering Prosecution Demonstration Program prototype.

As indicated previously, joint applications from a State Attorney General and a local prosecutor are welcome. Applicants should use the *Program Manual* to assist them in designing their application and program plan. Requests for copies of the *Program Manual* may be directed to NAAG, Project Director, Financial Investigations and Money Laundering Project, Suite 403, 444 North Capitol Street, N.W., Washington, DC, 20001, or by telephone at 202/424-8000.

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

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

AWARD PERIOD: These grant awards will be for a 12-month period.

AWARD AMOUNT: Grant awards of up to \$200,000 each will be awarded to up to two State Attorneys General offices and up to one local prosecutor's office for demonstration projects. A total of \$600,000 is available to support this program.

DUE DATE: Applications must be postmarked no later than 120 days from the date of this publication.

CONTACT: For further information, contact Charles M. Hollis, Chief, Prosecution Branch, (202) 514-5943.

Corrections Options Grant Program - Part I

PURPOSE: The purpose of this program is to demonstrate the development and implementation of correctional options within existing correctional systems.

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

For the purposes of this program, the term "correctional option" includes community-based incarceration, weekend incarceration, boot camp prison, electronic monitoring of offenders, intensive probation, and any other innovative punishment designed to have the greatest impact on offenders who can be punished more effectively in an environment other than a traditional correctional facility. "Youthful" offenders are defined as 14 to 25 years of age. Applicants are reminded that they must comply with the Federal Juvenile Justice and Delinquency Prevention Act of 1974, as amended, particularly those provisions which prohibit juveniles who are adjudicated delinquent in juvenile or family court from being held in secure facilities with adult offenders.

Under this program, grants will be made to eligible public agencies which provide alternatives to traditional modes of incarceration and offender release programs. The correctional options must be designed:

- To provide more appropriate intervention for youthful offenders who are not career criminals, but who, without such intervention, are likely to become career criminals or more serious offenders;
- To provide the degree of security and discipline appropriate for the offender involved;
- To provide diagnosis, treatment, and services (including counseling, substance abuse treatment, education, job training, and placement assistance while under correctional supervision, and linkage to similar outside services) that will enable the offender to pursue a course of lawful and productive conduct after release from legal restraint;
- To reduce criminal recidivism by offenders who receive punishment through such alternatives;
- To reduce the cost of correctional services and facilities by reducing criminal recidivism; and
- To provide work that promotes development of industrial and service skills in connection with a correctional option.

The following characteristics of successful correctional options should be addressed:

- The option should be selected and designed based on a systematic assessment of the existing correctional system;
- Multiple key criminal justice officials should be involved in selecting the option(s) (e.g., chief judge of the local felony-level court, the prosecutor, and the corrections administrators);
- The option should fit within an overall, rational sentencing framework and range of sanctions;
- The target population should be well-defined;
- The options, goals, objectives, and strategies should be well-defined and internally consistent; and
- The option must provide for enforcement of supervised conditions; e.g., clear consequences for noncompliance and rewards for compliance and acceptable behavior.

BJA recommends that each applicant propose, at most, two or three options that clearly fit within the existing corrections system in the jurisdiction. Training and technical assistance will be provided to recipients of the demonstration grants. A program level evaluation will be conducted.

GOALS: The goals of this program are:

- To assess the existing correctional system;
- To implement correctional options which address gaps in the correctional system, and fit within the sentencing policy framework; and
- To evaluate the effectiveness of the corrections option.

OBJECTIVES: The objectives are:

- To identify the types of offenders requiring sanctions and the capability of the correctional system to provide those sanctions;
- To identify and assess promising and effective corrections options;
- To select and adapt promising, innovative correctional option(s);
- To implement the correctional option(s); and
- To participate in a program-level evaluation.

PROGRAM STRATEGY: This solicitation invites applications from jurisdictions to serve as demonstration sites under this program. Applicants should include the following in the program narrative section of their application:

- A preliminary profile of the youthful offenders handled by the juvenile and/or criminal justice system;
- An overview of existing correctional services for this population;

- A list and brief description of State and local public and private resources that will be available to support this program (Pursuant to Section 516 (b) of the Act, 42 U.S.C. 3762b(b), BJA funds may support up to 75 percent of the costs of the programs. BJA can assist agencies that receive awards under this program in identifying surplus military facilities which can be used for corrections options without reimbursement; and
- A detailed explanation of the approach that will be used to accomplish each of the developmental stages described below, rather than a program design.

This program will be implemented in three stages:

Stage I - Assessment

The first stage of the program consists of identifying the youthful offender population that requires supervision and assessing the adequacy of the existing correctional system.

The products to be completed during this stage are:

- A plan specifying how the assessments will be conducted;
- A draft and final assessment report which includes:
 - A description of the youthful offender population;
 - A description of gaps in existing correctional services;
 - Recommendations for developing and implementing corrections options to expand the capability of the existing correctional system; and
 - Recommendations for the evaluation design.

Stage II - Program Development

Upon successful completion of the Assessment Stage, the applicant will select the options to be implemented, adapt the options to the jurisdiction to be served, and prepare an operations manual and an implementation plan. The operations manual will describe how to organize, plan, develop, implement, and monitor the correctional option(s) within the framework of the existing correctional system.

The products to be completed during this stage are:

- A plan for program design and program operations manual development;
- A final program design;
- A draft and final program operations manual; and
- A draft and final plan for implementing the program and supporting the evaluation.

Stage III - Program Implementation

After successful completion of the Program Development Stage, the project may begin implementation activities and evaluation.

The products to be completed during this stage are:

- The operational program; and
- A report on the evaluation of the program implementation process.

ELIGIBILITY REQUIREMENTS: This solicitation is limited to the eligible public agencies which applied for, but did not receive, Correctional Options Part I funding under the FY 92 BJA Discretionary Program for correctional options that provide alternatives to traditional modes of incarceration and offender release programs. In addition, the South Carolina Department of Corrections and the State of Ohio's Criminal Justice Service are invited to apply for consideration under this program. Six demonstration grants will be awarded in the amount of up to \$1,000,000 each to develop and implement alternatives to traditional modes for incarceration and offender release programs.

In addition to the requirements set forth in the Application and Administrative Requirements section of the document, applicants must demonstrate that they have the management and financial capability to implement effectively 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:

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

Definitions for each of these Selection Criteria are contained in the Application and Administrative Requirements section of this document.

In rating the applications on these criteria, emphasis will be place on the extent to which the application requirements in the Program Strategy section are addressed. In addition, the legislation states that the awards must go to public agencies in various geographic areas throughout the United States.

AWARD PERIOD: These grant wards will be for an 18-month period.

AWARD AMOUNT: Up to six projects will be funded under this initiative. Up to \$1,000,000 has been allocated for each project for a program total of \$6,000,000.

DUE DATE: Applications must be postmarked no later than 90 days from the date of this publication.

CONTACT: For further information, contact Tom Albrecht, Chief, Corrections Branch, (202) 514-6236.

Corrections Options Grant Program - Part II

The purpose of this program is to provide grants to private non-profit organizations for the development of innovative projects to be carried out in connection with a correctional option, training, and education program for criminal justice personnel and technical assistance to State and local units of government.

A solicitation(s) will be issued at a later date. To be placed on the mailing list to receive a copy of the solicitation(s), please write or call the:

BJA Clearinghouse
National Criminal Justice Reference Service
Box 6000
Rockville, Maryland 20850

OR

1-800-688-4252

Corrections Options Grant Program -Part III

PROGRAM: The purpose of the initiative is to develop and test a Youthful Offender Boot Camp Program as a correctional option. This program will focus on adjudicated, youthful offenders as defined by individual State statute. The program will: emphasize and provide discipline, treatment, and work; include activities and resources to reduce drug and alcohol abuse among offenders; and encourage the participants to become productive, law-abiding citizens.

BACKGROUND: The Youthful Offender Boot Camp Program is designed to provide discipline, treatment, and work in response to their criminal behaviors. Discipline is used to control behavior and to teach self-control, which is essential for completing the academic, employment, and treatment components of the program, as well as for making a successful transition back to the community. Treatment for drug abuse is an essential component because drug abuse is physically, psychologically, and emotionally debilitating and often associated with involvement in other crime. Work experience and training related to job skill development are critical for obtaining legitimate employment, and may be important factors in reducing recidivism.

For the purpose of this program, "youthful" offenders are defined as 14 to 25 years of age. Applicants are reminded that they must comply with the Federal Juvenile Justice and Delinquency Prevention Act of 1974, as amended, which states that juveniles adjudicated delinquent in juvenile or family court cannot be held in secure facilities with adult offenders.

PROGRAM DESIGN: Each offender admitted to the program will proceed through four phases during a 12-month period: Selection, Basic Training, Preparedness, and Accountability. The major activities and services for each phase are outlined below.

The first phase, Selection, will consist of screening, interviewing, examining, selecting, and processing specified numbers of eligible participants.

The second phase, Basic Training, will consist of a highly structured residential program that can change the behavior and attitudes of participants while they are isolated from the influences of drugs and crime. Participants should remain in this phase no less than 90 days. Military-like drills and discipline will be emphasized. Performance work plans will be developed that will guide the Basic Training Phase as well as subsequent phases. It is important to ensure that successful graduates are able to resist negative influences in their communities, complete academic and vocational programs, and engage in productive employment. To accomplish this, the program design includes a third phase, Preparedness and a fourth and final support phase, Accountability.

The Preparedness phase is designed to continue and reinforce, through intensive supervision, the Basic Training activities and services. Participants will be given specific direction, pursuant to their performance work plans, in all aspects of their education, work, drug treatment, and other

activities to enable them to make the transition to the Accountability Phase. During the Accountability Phase, program participants will be guided in assuming more responsibility for continuing the discipline-work-treatment activities on their own in the community.

If participants in the Preparedness and Accountability Phases of the program fail to pursue academic and vocational training or employment, or to participate in community service activities as well as treatment, their involvement in the program will be terminated pending a review by the court in conjunction with program personnel.

Phase I - *Selection*

Objective: The objective of this phase is to screen, refer, and conduct intake activities.

Process: Adjudicated youthful offenders who are determined to be eligible for confinement by the court will be assigned to the program. Those referred to the program will be screened for the program by the appropriate agency. They will be interviewed, selected, and processed by program staff.

Activities: Activities during this phase include:

- Disposition;
- Designation of an Eligible Group of Adjudicated Youthful Offenders;
- Commitment;
- Referral;
- Screening;
- Selection; and
- Intake.

Phase II - *Basic Training*

Objective: The objective of this phase is to provide discipline, treatment, and work as well as educational services.

Process: In this phase of the program, youthful offenders will participate in a rigorous physical conditioning regimen, comprehensive diagnostic assessments, and intensive academic and employment skills development. Services will be designed to build confidence, self-esteem, and teamwork. Program staff will provide all services.

Activities: Activities during this phase include:

- Diagnostic Assessments (drug testing and medical, educational, vocational, social, psychological, and employment assessments);
- Physical Conditioning and Athletics;
- Work Skills;

- Education (Remedial, Special, Alternative, Vocational);
- Counseling;
- Family Support;
- Personal Hygiene and Health Maintenance;
- Drug and Alcohol Abuse Prevention and Treatment; and
- Routine approaches to activities that reinforce self-discipline.

Phase III - Preparedness

Objective: The objective of this phase is to provide discipline, treatment, and work experience, as well as educational services.

Process: The youthful offenders will continue to participate in a rigorous physical conditioning regimen, pursuant to their performance work plan, and focus their academic and work activities in specific areas, based upon their identified needs and problems. They will gain experience in highly structured settings. Program staff will provide and/or guide all services in conjunction with community service providers.

Activities: Activities during this phase include:

- Diagnostic Assessment;
- Physical Conditioning and Athletics;
- Work Skills Enhancement and Experience;
- Education (Remedial, Special, Alternative, Vocational);
- Counseling;
- Family Support;
- Drug and Alcohol Abuse Prevention and Treatment; and
- Community Service.

Phase IV - Accountability

Objective: The objective of this phase is to provide direction and support for self-discipline, treatment, and work experience, as well as educational services and drug resistance skills.

Process: The youthful offenders will continue a rigorous physical conditioning regimen, academic and employment activities, and make restitution. Program staff will guide all services, which will be provided by a variety of community public agencies and private organizations.

Activities: Activities during this phase include:

- Physical Conditioning and Athletics;
- Work Experience;

- Education;
- Counseling;
- Family Support;
- Drug Abuse Prevention and Treatment;
- Restitution; and
- Monitoring.

As the program involves intensive physical conditioning and discipline, specially qualified military personnel will be sought to assist in curriculum development, staff development, and training and technical assistance.

Evaluation: The programs selected for award will be evaluated by an independent public or private organization selected by BJA. Random assignment of youth to the program will allow more rigorous evaluation designs; thus applicants who demonstrate their willingness to assign eligible offenders randomly will be given strong preference. The local jurisdiction establishes the eligibility criteria. Youth who meet these criteria are assigned on a random basis to either the boot camp (experimental group) or to another appropriate sanction (control group). The recipient must work with the court and the State or local corrections agency to establish procedures for random assignment.

GOALS: The goals of this program are:

- To develop a boot camp that is appropriate for youthful offenders;
- To demonstrate boot camps in selected jurisdictions; and
- To conduct an evaluation of the boot camps.

OBJECTIVES: The objectives are:

- To identify and assess existing boot camp programs for youthful offenders;
- To develop a prototype boot camp program;
- To implement the prototype boot camp program; and
- To assist in the collection of information necessary for the evaluation.

PROGRAM STRATEGY: The program will be conducted in two discrete incremental stages. The two stages include: a comprehensive description of the development, implementation, and operation of a boot camp prison program; and implementation and testing of the prototype. This award provides funds for both stages.

Applicants should include the following in the program narrative section of their application:

- A preliminary profile of the youthful offenders handled by the juvenile and/or criminal justice system who are anticipated to be the target population for a correctional boot camp;

- An overview of existing correctional services for this population;
- A list and brief description of State and local public and private resources that will be available to support this program (pursuant to Section 516 (b) of the Act, 42 U.S.C. 3762b(b), BJA funds may support up to 75 percent of the costs of programs). BJA can assist agencies that receive awards under this program in identifying surplus military facilities that can be used for correctional boot camps without reimbursement; and
- A detailed explanation of the approach that will be used to accomplish each of the developmental stages described below, rather than a final program design.

This program will be implemented in two stages:

Stage I - Program Development

The recipient will develop a prototype design for the development, implementation, and operation of a Youthful Offenders Boot Camp Program based on the design outlined in the Background section. The applicant must identify appropriate land, facilities, and other resources, beyond those provided by the Federal grant, that will be necessary for the implementation of the two stages. This will involve developing detailed service agreements with appropriate agencies. The prototype design will be accompanied by a detailed policy and procedure manual to be developed by the recipient. Appropriate technical and subject matter expertise will be utilized to refine the design and develop the prototype.

The prototype design and related policies and procedures will provide guidance regarding the following: identification of the appropriate target group; relationship of the program to other public and private agencies; program organization and management; the philosophy and content of the intervention; resource development; program monitoring; and evaluation of program effectiveness. The information will become part of the package to be disseminated to appropriate State and local agencies.

The products to be completed during this stage are:

- A plan for prototype development specifying, in detail, the approach and activities to be undertaken for each step of this stage, and the projected costs on a monthly basis;
- A draft and final prototype design and related program operations manual; and
- A dissemination strategy to inform the field of the development of the program, products, and results of this stage.

Stage II - Program Implementation and Testing

This stage of the program consists of a test of the prototype. The award recipient, in cooperation with the appropriate State and/or local agencies will implement the prototype

and provide services to eligible adjudicated youthful offenders by 5 months after the award. The recipient will also be expected to work cooperatively with an independent evaluator to ensure the integrity of the data collection and feedback activities.

Specifically, the recipient must work with the court and the State or local correctional agency to facilitate access to youthful offenders in both the experimental and the control group for interviews and record checks.

The major products for this stage are:

- An implementation plan for implementing the prototype to provide services to the eligible adjudicated youthful offender population;
- Recommendations for the program announcement for test sites, if appropriate;
- Assistance to the independent evaluation; and
- A dissemination strategy to inform the field about the development of the program, the products, and results of this stage.

ELIGIBILITY REQUIREMENTS: Applications are invited from State or local units of government. Applicants may choose to submit joint proposals with other eligible jurisdictions as long as one jurisdiction is designated in the application as the applicant and any co-applicants are designated as such. Preference will be given to collaborative efforts involving both public and private organizations because they afford authority, access to resources, and maximum flexibility in organizing and deploying human and financial resources.

In addition to the requirements set forth in the Application and Administrative Requirements section of this document, applicants must demonstrate they have the management and financial capability to implement a project of this size and scope effectively.

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

Organizational Capability	25 points
Soundness of the Proposed Strategy	25 points
Qualifications of the Project Staff	20 points
Clarity and Appropriateness of the Program Implementation Plan	15 points
Budget	15 points

Definitions for each of the Selection Criteria are contained in the Application and Administration section of this document.

AWARD PERIOD: These grant awards will be for an 18-month period.

AWARD AMOUNT: Up to five sites will be funded under this initiative. Up to \$300,000 has been allocated for each project, for a program total of \$1,500,000.

DUE DATE: Applications must be postmarked no later than 90 days from the date of this publication.

CONTACT: For further information, contact Tom Albrecht, Chief, Corrections Branch, (202) 514-6236.

Comprehensive Gang Initiative

PURPOSE: The purpose of this program is to demonstrate a comprehensive program to prevent and control emerging and chronic urban street gang drug trafficking and related violent crime.

BACKGROUND: The phenomenon of urban street gang involvement in drug trafficking and its attendant violent crime is becoming increasingly widespread. The gangs targeted under this initiative are those that are expansionist and entrepreneurial in character. These gangs, while involving juveniles, are generally headed by young adults from 18 to 25 years of age. To be effective in preventing and controlling gang and drug trafficking related crime, State and local public and private resources must be concentrated and targeted as specific gang activities. Community residents must be involved in both criminal justice and prevention activities. A full range of prevention, law services, and correctional services must be coordinated and provided in well defined geographic areas experiencing high levels of gang crime.

GOALS: The goals of this program are:

- To identify promising and effective programs for preventing and controlling gang drug trafficking and violence;
- To provide the capability to implement effective gang prevention and control programs in selected jurisdictions; and
- To disseminate effective gang prevention and control programs.

OBJECTIVES: The objectives are:

- To assess existing community programs for preventing and controlling illegal drug trafficking and violence by gangs;
- To develop a prototype comprehensive gang prevention and control program for cities with chronic or emerging gang problems;
- To develop training and technical assistance materials to transfer the prototype to selected sites;
- To provide training and technical assistance to demonstration sites;
- To evaluate the comprehensive gang program demonstrations; and
- To disseminate the results of the demonstration.

PROGRAM STRATEGY: This solicitation invites applications from jurisdictions to serve as demonstration sites. Selected sites will implement and test a comprehensive gang prevention and control prototype being developed by the Police Executive Research Forum (PERF). In FY 1991, funds were awarded to PERF to develop a prototype program for preventing and controlling gang drug trafficking and violent crime. The development of the prototype was based on a national

assessment that included an extensive review of the literature on gangs and strategies and programs for responding to gang crime as well as a review of promising and effective operational programs. The case study sites are: El Paso, Texas; Evanston, Illinois; Lakewood, Colorado; and San Bernadino, California.

The information developed through the assessment was used to design a prototype gang prevention and control program. BJA intends to demonstrate this program in several sites to determine its effectiveness and refine it, as appropriate. This solicitation invites applications from jurisdictions that wish to demonstrate the prototype program.

Three principles guide the prototype comprehensive gang prevention and control program. First, it is **adaptable**. That is, it applies to a variety of gangs within a jurisdiction, and to the many different gang problems faced by different jurisdictions. Second, as gang problems will inevitably change, the program is **flexible**. Flexibility allows changes to be made in an anti-gang initiative in response to, or in anticipation of, transformations within gangs and to changing situations faced by gangs. Third, the program is **multifaceted**. That is, it must involve a variety of government and private agencies simultaneously addressing the many factors that give rise to and sustain gangs.

The prototype focuses on the analysis of local gang problems and the selection of the most effective suppression and intervention components as a systematic process. The locally based application of this strategy will result in tailor-made interventions. The structure of each local strategy--the exact mix of police, prosecutorial, educational, counseling, employment, and other components--will differ from one community to the next, according to the types of gangs, their variable uses of violence, and drug trafficking in each community.

The essential features of the prototype comprehensive gang prevention and control program are:

- A focus on gang-related drug trafficking and violent behaviors;
- Continual diagnosis of gang-related drug and violence problems;
- Coordinated response by multiple agencies;
- Monitoring of performance;
- Evaluation of impact on harmful gang behaviors; and
- Adaptation to the changing nature of gang-related drug trafficking and violent behavior.

Following implementation and demonstration in sites selected through this solicitation, BJA intends to revise the prototype as necessary and then disseminate an effective model program for the prevention and control of gang drug trafficking and related violent crime.

Each demonstration site will implement the program incrementally in three stages: Assessment, Program Development, and Program Implementation. PERF will assist the demonstration sites during each stage. Applicants should note that awards made under this solicitation will support the implementation of a prototype program. The prototype is currently being completed by PERF. Applicants are expected to explain their approach to accomplishing each of the stages explained below, rather than presenting a final program design in their applications. Upon award,

the grantees must agree to work with PERF in the development and implementation of their final program design.

Stage I - Assessment

The first stage of the project consists of the collection and analysis of relevant information on the applicant's gang problem and the existing response. A preliminary statement of the jurisdiction's gang drug trafficking problems should be included in the application. The statement should include, but not be limited to, the types of drugs that are sold and used, a profile of gang drug traffickers and their customers, identification of where transactions are occurring, and the extent of gang drug-related crime. The application should also include a plan for conducting a thorough needs assessment of the jurisdiction's current and projected problems with gang drug trafficking and related violent crime. The plan must indicate the types and sources of information to be used, and it must contain provisions for identifying current community resources and gaps in resources, as well as provide a critical review of strategies that have been, or are being, employed in the jurisdiction to prevent and control gang drug trafficking.

The products to be completed during this stage are:

- A plan specifying how the assessment will be conducted;
- A draft and final assessment report that addresses the extent and nature of the gang problem, resources currently dedicated to preventing and controlling gang crime, gaps in existing activities and programs, and recommendations for implementing the prototype gang program; and
- Recommendations for evaluating the effectiveness of the comprehensive gang program.

Stage II - Program Development

Upon successful completion of the Assessment Stage, and with the approval of BJA, demonstration sites will design their plan for implementing and evaluating the prototype developed by PERF. An explanation of the process that will be used to prepare the plan for implementing the prototype should be included in the application. The final plan must specify who will be responsible for program design (i.e., adaptation of the prototype) and program implementation; what the primary tasks will be; when each will be accomplished; how it will be accomplished; and what resources will be used.

The products to be completed during this stage are:

- A plan for designing the program and developing an implementation strategy;
- A draft and final program design and implementation strategy; and
- A program evaluation design.

Stage III - Program Implementation

Upon successful completion of the Program Implementation Stage, the project may begin implementation activities. Products to be completed in this stage are:

- The operational gang drug trafficking program; and
- A report on the evaluation of the prototype implementation process.

ELIGIBILITY REQUIREMENTS: Applications for demonstration sites will be invited from public agencies and private, not-for-profit 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 primary applicant.

In addition to the requirements set forth in the Application and Administrative Requirements section of this document, applicants must demonstrate that they have the management and financial capability to implement a project of this size and scope effectively.

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

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

Definitions regarding each of these Selection Criteria are contained in the Application and Administrative Requirements section of this document.

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

- The extent to which the applicant demonstrates that it can obtain resource commitments from State and local public and private agencies to support the program;
- The extent to which the applicant demonstrates a commitment to the interagency coordination and cooperation that is essential to implementing a comprehensive program; and
- Preference will be given to applicants who are either Department of Justice Operation Weed and Seed pilot demonstrations or officially recognized sites. The comprehensive gang prototype program is most likely to be implemented effectively if it is part of a comprehensive strategy to coordinate criminal justice and human service resources in a well-defined target neighborhood. Applicants involved in Operation Weed and Seed will receive five points under Organizational Capability

and five points under Soundness of the Proposed Strategy if they clearly explain how the demonstration program will be integrated into the Weed and Seed strategy.

AWARD PERIOD: These grants awards will be for an 18-month period.

AWARD AMOUNT: Up to \$200,000 will be awarded to each demonstration site. Total funding available for demonstration sites is \$800,000.

DUE DATE: Applications must be postmarked no later than 90 days from the date of this publication.

CONTACT: For further information, contact John Veen, Acting Chief, Law Enforcement Branch, (202) 514-5947.

Statewide Intelligence Systems Program

PURPOSE: The purpose of this program is to demonstrate the effectiveness of shared management decisionmaking in the collection, storage, and dissemination of criminal intelligence on a statewide basis.

BACKGROUND: Many States are beginning to construct systems for gathering, storing, and disseminating intelligence on a statewide basis. These systems vary in configuration, complexity, focus, and management.

The Statewide Intelligence Sharing (SIS) Model to be developed through this program will be based on the design of the BJA Organized Crime Narcotics Trafficking Enforcement (OCN) Program. The centerpiece of the OCN Program is a formal management Control Group that makes joint decisions on operational policies and on allocation and management of investigation and prosecution resources. The SIS Model will also be based on the Control Group concept of shared management of policies and resources.

The SIS Model will be designed for compatibility with the BJA-funded Regional Information Sharing Systems (RISS) Program, which supports intelligence systems for State and local law enforcement. RISS program staff will work closely with the SIS projects so they can interface with the existing RISS networks in a mutually beneficial capacity.

GOALS: The goals of this program are:

- To develop a statewide criminal intelligence-sharing model;
- To implement statewide intelligence-sharing projects in selected jurisdictions; and
- To disseminate information for replication or development of effective statewide intelligence-sharing projects.

OBJECTIVES: The objectives are:

- To assess the applicability of the OCN shared management system and adapt it to a statewide intelligence-sharing program;
- To develop a statewide intelligence-sharing model;
- To demonstrate the statewide intelligence-sharing model;
- To provide training and technical assistance to the demonstration sites;
- To evaluate the SIS demonstrations; and
- To disseminate the results and promote replication.

PROGRAM STRATEGY: This solicitation invites applications for the development and implementation of a statewide intelligence-sharing model. New efforts to establish statewide intelligence-sharing, as well as efforts to enhance existing systems, are eligible for funding. The statewide intelligence system will consist of an automated central repository to which participating agencies can contribute criminal intelligence data and make inquiries. The system must include narcotics-related criminal intelligence, and should encompass other types of criminal intelligence as well.

The SIS Model to be demonstrated through this program will be planned, organized, and managed by a Control Group that includes, at a minimum, the SIS project grantee agency, a State law enforcement agency, and a local law enforcement agency. Applicants are strongly encouraged to include the State Attorney General, or other legal agency, and additional local law enforcement agencies as Control Group members. In addition, a representative of the appropriate RISS project must be included as a nonvoting Control Group member.

The Control Group will develop policies, procedures, and practices for SIS implementation and operation, addressing issues such as participant eligibility, data base submission criteria, data base storage and access, security, quality control, and cooperation with Federal agency intelligence-sharing efforts. The Control Group members must sign a formal written commitment to participate in the SIS program. They must agree that each member has an equal vote, and that all major decisions must be unanimous.

The SIS projects must comply with the provisions of 28 CFR 23 (Criminal Intelligence Systems Operating Policies) and may not adopt policies which conflict with the principles of the RISS Program Guideline, *Funding and Administration of the Regional Enforcement Program* (OJP G 3100.1A), which is available through the BJA Clearinghouse. Data submissions to the SIS project must meet RISS requirements.

Participating agencies must identify other State and local public funds that will be dedicated to this effort.

This program will consist of three stages.

Stage I - Assessment

This stage involves a review of the OCN and RISS program guidelines, an assessment of existing statewide and local intelligence systems, and an assessment of the intelligence needs of State and local law enforcement and prosecution agencies. The products to be completed during this stage are:

- A plan specifying how the assessment will be conducted;
- A draft and final report which includes:
 - A descriptions of existing intelligence systems;
 - Recommendations for the development or enhancement of a SIS and;

- Recommendations for adapting the OCN shared decisionmaking model to the development and implementation of a SIS; and
- A preliminary design to evaluate the effectiveness of the SIS.

Stage II - Program Development

This stage involves the design of the SIS and the preparation of an implementation plan. The implementation plan will define the major activities, who will be responsible for each activity, when it will be completed, how it will be completed, and what resources will be used. A program operations manual will be prepared that describes the policies, procedures, and practices of the SIS. The products to be completed during this stage are:

- A final program design;
- A draft and final implementation plan;
- A draft and final program operations manual; and
- A project evaluation design.

Stage III - Program Implementation

After successful completion of the Program Development Stage, the project may be implemented. The products to be completed in this stage are:

- An operational SIS; and
- A report on the evaluation results.

This program will be supported by training and technical assistance under a separate award to the Institute for Intergovernmental Research (IIR). Assistance will be available on all aspects of SIS development and implementation including, for example:

- Formulating and executing a formal intergovernmental agreement among participating agencies;
- Developing and implementing operational performance assessment instruments; and
- Selecting appropriate hardware and software that will be compatible with the RISS projects.

Problem-specific technical assistance will be provided by IIR to each implementing agency as needs are identified.

ELIGIBILITY REQUIREMENTS: Applicants for the SIS Model demonstration projects must be State agencies which agree to accept responsibility for project administrative and fiscal matters. Applicants must document appropriate legal authority to serve as the State's central criminal intelligence records repository, and to store such records for other agencies, including local agencies.

In addition to the requirements set forth in the Application and Administrative Requirements section of this document, applicants must demonstrate that they have the management and financial capability to implement a project of this size and scope effectively.

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

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

Definitions for each of these Selection Criteria are contained in the Application and Administrative Requirements section of this document.

The following factors will be considered in rating the applications:

- Demonstrated capability to develop a coordinated effort involving multiple agencies;
- Demonstrated willingness to share intelligence, through secure exchange procedures, with State and local agencies which meet system access requirements as defined by the Control Group; and
- Assurance of coordination with other intelligence-sharing efforts, including RISS at a minimum.

AWARD PERIOD: These grant awards will be a 15-month period.

AWARD AMOUNT: Two Statewide Intelligence Sharing Projects will be funded at up to \$265,000 each.

DUE DATE: Applications will be due within 90 days from the date of this publication.

CONTACT: For further information, contact John Veen, Acting Chief, Law Enforcement Branch, (202) 514-5947.

Community Oriented Policing Program

This program is designed to demonstrate a comprehensive model of community policing developed by a consortium of law enforcement organizations. The model will address the planning, development, implementation, monitoring, and assessment of community policing department-wide at the policy, procedure, and practice levels. The model will be demonstrated in up to five local law enforcement agencies selected through a competitive solicitation.

A solicitation(s) will be issued at a later date. To be placed on the mailing list to receive a copy of the solicitation(s) please write or call the:

BJA Clearinghouse
National Criminal Justice Reference Service
Box 6000
Rockville, Maryland 20850

OR

1-800-688-4252

BJA State Office Listing

State Offices Administering
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Formula Grant Program

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Application Forms

INSTRUCTIONS FOR THE SF 424

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

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

BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A — BUDGET SUMMARY

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

SECTION B — BUDGET CATEGORIES

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

SECTION C - NON-FEDERAL RESOURCES

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

SECTION D - FORECASTED CASH NEEDS

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

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

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

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
23. Remarks	

INSTRUCTIONS FOR THE SF-424A

General Instructions

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

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

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

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

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

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

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

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

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

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

Line 5 — Show the totals for all columns used.

Section B Budget Categories

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

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

Line 6j — Show the amount of indirect cost.

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

INSTRUCTIONS FOR THE SF-424A (continued)

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

Section C. Non-Federal Resources

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

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

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

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

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

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

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

Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

Section F. Other Budget Information

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

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

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

SPECIAL INSTRUCTIONS

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

INSTRUCTIONS

PROGRAM NARRATIVE

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

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

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

2. RESULTS OR BENEFITS EXPECTED.

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

3. APPROACH.

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

to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

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

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

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

Public reporting burden for this collection of information is estimated to average 26 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 633 Indiana Avenue, NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

ASSURANCES

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

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

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

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

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

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

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____



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

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

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

1. LOBBYING

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

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

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

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

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name 3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature 6. Date