U.S. Department of Justice
Office of Justice Programs
Office of Juvenile Justice and Delinquency Prevention

FY 2005
OJJDP Congressional Earmark Programs

Application Guidelines

Due Date: June 1, 2005

FY 2005 OJJDP Congressional Earmark Programs

Application Checklist

All applications must be submitted electronically through the Office of Justice Programs' Grants Management System (GMS). Mailed or faxed applications will not be considered.

- ☐ GMS Registration must be completed no later than April 1, 2005. *To register, applicants must select "FY 2005 OJJDP Congressional Earmark Programs" from the Funding Opportunities page in GMS, select "Apply Now," read the warning message that appears, and select "Continue."*

- ☐ Application for Federal Assistance (SF–424) is generated by completing the Overview, Applicant Information, and Project Information screens in GMS.

- ☐ Assurances and Certifications must be reviewed and accepted online by the applicant's authorizing official.

- ☐ Budget Detail Worksheet (Attachment #1) must include a worksheet that identifies and a narrative that justifies all proposed costs.

- ☐ Program Narrative (Attachment #2) must include a project abstract; discuss the problem(s) to be addressed; outline the projects goal, objectives, and performance measures; describe the project design/strategy; and detail the applicant's management and organizational capability.

- ☐ Other Program Attachments (Attachment #3) must include the following: an annualized project timeline, résumés of key personnel, job descriptions outlining roles and responsibilities for all key positions, and, where appropriate, letters of support/commitment and memorandums of understanding.

- ☐ Accounting System and Financial Capability Questionnaire (Attachment #4—Send by Fax). All nonprofit and commercial organizations that have not previously received an award from OJP are required to complete a financial capability questionnaire.

Files attached to your GMS application must be submitted as a Microsoft Word document (.doc), Excel worksheet (.xls), PDF file (.pdf), or text document (.txt). Refer to the application guidelines for detailed descriptions of these items.

Deadlines

- ☐ Applicants must register on GMS by April 1, 2005.

- ☐ Applicants must submit completed applications by 8 P.M. ET June 1, 2005.

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FY 2005
OJJDP Congressional Earmark Programs

The following application guidelines provide instructions for applying for funding under OJJDP's FY 2005 Congressional Earmark Programs.

GMS Registration

All applications for FY 2005 OJJDP Congressional Earmark Programs must be submitted online through OJP's Grants Management System (GMS) (https://grants.ojp.usdoj.gov). A detailed "Step-by-Step Guide to OJP's Grants Management System" (see appendix) is available to assist applicants through the online application process.

Applicants must register for this solicitation by selecting "FY 2005 OJJDP Congressional Earmark Programs" from the Funding Opportunities page in GMS. To register, applicants must select "Apply Now," read the warning message that appears, and select "Continue." *The deadline for applicants to register on GMS is April 1, 2005.*

Application for Federal Assistance (SF–424)

Applicants must complete the Overview, Applicant Information, and Project Information sections of GMS. These sections provide the information needed to generate the Application for Federal Assistance (SF–424), a standard form used by most federal agencies.

Applicants will need to provide the following information to complete the SF–424:

- *DUNS Number.* Applicants can request a free DUNS number by calling 800–333–0505. Applicants must have a DUNS number *before* beginning the application process.

- *CFDA Number*. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is 16.541, titled "Developing, Testing and Demonstrating Promising New Programs."

- *Type of Application.* Select "New" in the drop-down menu for "Type of Application."

- *Authorized Representative.* Applicants must ensure that the information for the authorizing official and alternate contact is entered correctly in the GMS system. The authorizing official is the individual authorized to accept grant funds in the applicant's organization. If the individual applying online is not the applicant organization's signing authority, that individual must list the authorizing official's name and contact information where appropriate.

Assurances and Certifications

Applicants are required to review and accept the "Assurances" and "Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and the Drug-Free Workplace Requirement" in order to receive federal funds under this program. To accept the Assurances and Certifications in GMS, select the Assurances and Certifications link and click the "Accept" button at the bottom of the screen. Please verify that the contact information (name, address, phone number, fax number, and e-mail address) for the applicant's authorizing official is correct.

Budget Detail Worksheet (Attachment #1)

The applicant must provide a budget that (1) is complete, allowable, and cost effective in relation to the proposed activities, (2) shows the cost calculations demonstrating how the applicant arrived at the total amount requested, and (3) provides a brief supporting budget narrative to link costs with project implementation (see below for more about the budget narrative).When preparing your application, please refer to the Office of Justice Programs' *Financial Guide* for guidance on topics such as allowable costs, indirect costs, accounting systems, and financial records (see appendix for complete table of contents). The *Financial Guide* is available on OJP's Web site (www.ojp.usdoj.gov/FinGuide/).

The Budget Detail Worksheet—*which must be submitted as a Microsoft Word document (.doc), Excel worksheet (.xls), PDF file (.pdf), or text document (.txt)*—must include both a detailed worksheet itemizing all costs and a narrative explaining and justifying each budget item.

- Budget Worksheet. All costs must be allocated under the following categories: personnel, fringe benefits, travel, equipment, supplies, construction, consultants/contracts, other, and indirect costs. All line items must show how the cost was calculated. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee to be paid through grant funds. The budget worksheet should present a complete and detailed itemization of all proposed costs.

- Budget Narrative. The budget narrative shall follow the content of the budget worksheet and provide justification for all proposed costs. For example, the narrative should explain how fringe benefits were calculated, how travel costs were estimated, why particular items of equipment or supplies must be purchased, and how overhead or indirect costs (if applicable) were calculated. The budget narrative should justify the specific items listed in the budget worksheet (particularly supplies, travel, and equipment) and demonstrate that all costs are reasonable. Please specify the beginning and end dates of your fiscal year.

A sample budget detail worksheet is provided in the appendix. Sample budget forms can be downloaded from OJP's Web site (www.ojp.usdoj.gov/forms.htm).

Please note: total costs specified in the complete budget must match the amount provided in the Estimated Funding section of the Project Information screen in GMS. All funds listed in the budget will be subject to audit.

Program Narrative (Attachment #2)

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative must be double spaced, use a standard 12-point font (Times New Roman is preferred), have 1-inch margins, and not exceed 25 pages. (Please number pages "1 of 25," "2 of 25," and so forth.)

The program narrative must include five sections: (1) project abstract; (2) problem(s) to be addressed; (3) goals, objectives, and performance measures; (4) project design/strategy; and (5) management and organizational capability. The connections between and among each of these sections should be clearly delineated. For example, the goals and objectives should derive directly from the problem(s) to be addressed. Similarly, the project design/strategy section should clearly explain how the program's structure and activities will accomplish the goals and objectives identified in the previous section.

Project Abstract

The project abstract should not exceed 200 words. It should briefly describe the project's purpose, identify the population to be served using grant funds, and summarize the activities that will be implemented to achieve the project's goals and objectives. These goals and objectives should focus on short-term and intermediate outcomes (see "Goals, Objectives, and Performance Measures" below), and the abstract should also describe how progress towards these goals will be measured. Finally, the abstract should contain a brief description of the connections between the project's activities and potential reductions in juvenile delinquency, child maltreatment, or other long-term goals. A sample project abstract is contained in the appendix.

Problem(s) To Be Addressed

This section of the program narrative must identify the problem(s) or issue(s) the applicant will address through this project (e.g., gang activity, underage drinking, drug abuse, truancy, youth employment, school performance, etc.). Local data should be used to provide evidence that the problem(s) exists, demonstrate the size and scope of the problem, and document the effects of the problem(s) on the target population and the larger community. Applicants should also describe and cite any known previous and/or current attempts to address the problem(s).

Goals, Objectives, and Performance Measures

This section of the program narrative must outline the specific goals and objectives of the project. The goals and objectives should be clearly connected to the problem(s) identified in the preceding section. The objectives should be measurable. (Examples of measurable objectives might include the following: to provide school-based and community services for 40 youth returning from commitment/placement, to increase the percentage of youth who successfully complete their current academic grade, to expand counseling services to cover an additional 50 at-risk youth.)

It is difficult to demonstrate with statistical validity that a complex, long-term outcome such as a reduction in juvenile crime or drug use is the result of activities associated with an individual program

lasting only 1 or 2 years. Such attributions typically require the use of well-controlled research and evaluation studies using control groups and random assignment of participants. Because of financial, practical, and ethical considerations, this type of evaluation is usually beyond the means of most local or even statewide programs. If the project does not incorporate this type of study, OJJDP recommends that the applicant select goals and objectives that focus on intermediate outcomes—that is, outcomes that previous research indicates are connected in some way to reductions in juvenile delinquency or child abuse/neglect. These intermediate outcomes might include such things as increased school attendance, improvements in academic skills, enhanced parenting skills, and improved family relationships. While the ultimate, long-term goal of the project may be to reduce delinquency, a more feasible and accurately measurable goal would be to enhance the academic skills of program participants. Whatever goals and objectives are selected, the connections between these and juvenile delinquency or child abuse/neglect should be noted in this section.

If the project has previously received funding or is ongoing, applicants must address what progress has been made in meeting the project's goals and objectives for the last 12 months, or since the project was initially funded. Applicants should briefly describe the project's major successes and challenges and should note any changes in the project's original goals and objectives made as a result.

To ensure compliance with the Government Performance and Results Act, Public Law 103–62, applicants are required to collect and report data that measure the results of the activities implemented with this grant. Performance measures should reflect the specific problem(s), goals and objectives, and design/strategy (see next section) associated with this grant. Collection of performance measures will allow OJP to provide Congress with measurable results associated with federally funded programs.

Performance measures should be incorporated into an overall plan for evaluating the effectiveness of the project. Applicants should explain what will be measured, how often measurements will be required, and who will be responsible for conducting these assessments. Wherever possible, independent data sources (i.e., sources that do not derive from the program itself and data that is not collected by program staff) should be identified and incorporated into the project's evaluation plan. For example, a community-based program that provides afterschool tutoring should, if possible, use information obtained from school records to assess its progress. Applicants should also describe how they will maintain the security of the data they will collect, identify who will have access to the data, and explain how access will be restricted to these authorized individuals. If possible, applicants should identify the specific data collection instruments that will be used. It is expected that the project's performance measures will be closely linked to the project's goals and objectives.

Project Design/Strategy

The project design/strategy section of the program narrative must describe what the applicant is proposing to do and how they intend to do it. The applicant should identify the program's target population(s) and explain how the strategy will achieve the goals and objectives identified in the previous section.

The applicant should include a logic model that graphically illustrates the connections between goals, objectives, and program activities. Sample logic models are included in the appendix.

This section must be very detailed, and should describe specifically how the project will operate throughout the duration of the funding period. Applicants are encouraged to select evidence-based practices for their programs. Potential sources of information about evidence-based practices are listed in the appendix. This section must also discuss plans for sustainability (i.e., how the program will continue to operate beyond the period of the OJJDP grant award).

The project design/strategy section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project. In addition, the applicant should identify any other federal, state, or private foundation grants that serve the same local area and target population(s).

Finally, applicants should describe any research or evaluation studies that support the entire project design, or any of its components. Previous research related to the applicant's selected problem area should also be noted to indicate the applicant's understanding of the causes of—and potential solutions to—the problem(s) to be addressed. A reference list that may be helpful in this regard can be accessed at www.ojjdp.ncjrs.org/researchreferences.

Although applicants are expected to review the research literature for any relevant studies, they should also explore whether any unpublished local sources of research or evaluation data are available.

Management and Organizational Capability

This section of the program narrative must describe how the project will be managed and staffed locally. Management and staffing patterns should be clearly and obviously connected to the project design described in the previous section. This section should describe the experience and capability of the applicant's organization and any contractors that will be used to effectively implement and manage this effort and its associated federal funding. Any prior experience implementing projects of similar design and/or magnitude should be highlighted in this section.

Other Program Attachments (Attachment #3)

Applicants must submit the following materials in a single file as an attachment to their GMS application. The Other Program Attachments—*which must be submitted as a Microsoft Word document (.doc), PDF file (.pdf), or text document (.txt)*—must include:

- Annualized project timeline containing each project goal, related objective, activity, expected completion date, and responsible person or organization. Please do not use actual calendar months/years in your timeline; instead prepare the timeline using "Year 1," "Month 1," etc. See sample timeline in the appendix.

- Résumés of all key personnel.

- Job descriptions outlining roles and responsibilities for all key positions.

- Letters of support/commitment and memorandums of understanding (where appropriate).

Accounting System and Financial Capability Questionnaire (Attachment #4—Send by Fax)

To ensure all grantees can properly discharge the public trust which accompanies the authority to expend public funds, all nonprofit and commercial organizations that have not previously received an award from OJP are required to complete a financial capability questionnaire. Adequate accounting systems must meet the criteria as outlined in the OJP *Financial Guide*. Please complete and submit this questionnaire as a component of your application. Financial statements are required. The Accounting System and Financial Capability Questionnaire form can be downloaded from OJP's Web site (http://www.ojp.usdoj.gov/forms.htm). *Please submit your completed questionnaire and required financial statements by fax to GMS at 202–354–4147, and be sure that your application number is clearly legible on each page.*

Due Date

Applicants must register for this funding opportunity by April 1, 2005, and completed applications must be submitted online through OJP's Grants Management System (https://grants.ojp.usdoj.gov) by 8:00 P.M. ET, June 1, 2005.

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Application Guidelines—Appendix

Other Requirements
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Other Requirements

Anti-Lobbying Act

Applicants should be aware that the Anti-Lobbying Act, 18 U.S.C. § 1913, recently was amended to expand significantly the restriction on use of appropriated funding for lobbying. This expansion also makes the anti-lobbying restrictions enforceable via large civil penalties, with civil fines between $10,000 and $100,000 per each individual occurrence of lobbying activity. These restrictions are in addition to the anti-lobbying and lobbying disclosure restrictions imposed by 31 U.S.C. § 1352. The Office of Management and Budget (OMB) is currently in the process of amending the OMB cost circulars and the common rule (codified at 28 C.F.R. part 69 for U.S. Department of Justice grantees) to reflect these modifications. However, in the interest of full disclosure, all applicants must understand that no federally appropriated funding made available under this grant program may be used, either directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express approval by OJP. Any violation of this prohibition is subject to a minimum $10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing OMB circulars.

Civil Rights Compliance

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin (see also “Services to Limited English Proficient (LEP) Persons”), gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs. All applicants should consult the Assurances required to be submitted with the application to understand the applicable legal and administrative requirements.

Confidentiality and Human Subjects Protection

Applicants should be aware of the U.S. Department of Justice’s requirements for privacy and confidentiality in research and statistical efforts. These requirements are stipulated by 42 U.S.C. § 3879g. The U.S. Department of Justice has issued a specific regulation concerning the implementation of this statutory requirement in 28 CFR Part 22. In accordance with 28 CFR Part 22, applicants requesting funds for research or statistical activities must submit a Privacy Certificate with the application. The purpose of the Privacy Certificate is to ensure that the applicant has appropriate policies and procedures in place to protect the confidentiality of data identifiable to private persons. Specifically, the Privacy Certificate must be in compliance with the requirements of 28 CFR § 22.23. OJJDP has developed guidelines for preparing a Privacy Certificate in accordance with the confidentiality regulation. Copies of the Privacy Certificate Guidelines, a Privacy Certificate Face Sheet, and a Sample Attachment for a Privacy Certificate are available on the OJJDP Web site (ojjdp.ncjrs.org/funding/privacy.pdf).

Applicants are further advised that any project that will involve the use of human research subjects must be reviewed by an institutional review board[1] (IRB), in accordance with U.S. Department of Justice regulations at 28 CFR Part 46. IRB review is not required prior to submission of the application. However, if an award is made and the project involves research using human subjects, OJJDP will place a special condition on the award requiring that the project be approved by an appropriate IRB before federal funds can be disbursed for human subjects activities. Applicants should include plans for IRB review, where applicable, in the project timeline submitted with the proposal. A copy of "Confidentiality of Identifiable Research and Statistical Information (28 CFR Part 22)" is available on the OJJDP Web site (ojjdp.ncjrs.org/funding/confidentiality.pdf).

Coordination of Federal Efforts

To encourage better coordination among federal agencies in addressing state and local needs, the U.S. Department of Justice requests that applicants provide information on the following: (1) active federal grant award(s) supporting this or related efforts[2], including awards from the U.S. Department of Justice; (2) any pending application(s) for federal funds for this or related efforts; and (3) plans for coordinating any funds described in items (1) or (2) with the funding sought by this application. For each federal award, applicants must include the program or project title, the federal grantor agency, the amount of the award, and a brief description of its purpose.

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[1] Institutional Review Boards (IRBs) are the governing bodies that assure that data collection efforts are in accordance with all relevant local, state, and federal laws to protect human subjects. Background information on IRBs is available from the National Institute of Justice (www.ojp.usdoj.gov/nij/humansubjects/index.html) and the U.S. Department of Health and Human Services (www.hhs.gov/ohrp/).

Most local and state governments, colleges and universities, hospitals, and private contract research firms have IRBs in place. Agencies that might be able to help you find an IRB to review your data collection plans for the purpose of the application include a local jail, hospital, mental health treatment facility, public health agency, community college, or four-year college or university. Try calling these agencies, explain that you are submitting an application for federal funding and are required to collect data on the children that you serve, and you therefore need IRB clearance and ask if they have ever encountered this situation and what they did about it. It is likely that at least one of these agencies will have some experience they would be willing to share.

IRB reviews are now available from for-profit organizations, if the potential applicant does not have access to an IRB through his/her own institution. They cost about $6,000-$10,000, and those costs would need to be built into the first year's budget. One could find those firms by querying the term "Institutional Review Board" with any Internet search engine.

You do not need to have IRB clearance at the time your application is submitted to OJJDP. In your application, you can outline the process for getting IRB clearance in your community. If possible, you should start the process, so that you could say in your application that your study/plan/design was under review by an IRB and give the expected date for final clearance. Applicants are not required to get final clearance until/if you are funded. In fact, some IRBs won't review a study until after funding is secured.

[2] "Related efforts" is defined for these purposes as one of the following: efforts for the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other federal grants); another phase or component of the same program or project (e.g., to implement a planning effort funded by other federal funds or to provide a substance abuse treatment or education component within a criminal justice project); or services of some kind (e.g., technical assistance, research, or evaluation) rendered to the program or project described in the application.

Faith-Based and Community Organizations

It is OJP policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for assistance awards. Faith-based and community organizations will be considered for an award on the same basis as any other eligible applicants and, if they receive assistance awards, will be treated on an equal basis with non faith-based and community organization grantees in the administration of such awards. No eligible applicant or grantee will be discriminated against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.

Financial and Government Audit Requirements

Discretionary grants are governed by the provisions of the Office of Management and Budget (OMB) circulars applicable to financial assistance and the OJP's *Financial Guide* available from the OJP Web site (www.ojp.usdoj.gov/oc). The Guide includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. This document will govern the administration of funds by all successful applicants.

Audits of state and local units of government, institutions of higher education, and other nonprofit institutions must comply with the organizational audit requirements of OMB circular A–133, which states that recipients who expend $500,000 or more of federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report within 9 months after the close of each fiscal year during the term of the award to their cognizant federal agency.

Grantees must comply with the following OJP reporting requirements:

- *Financial Status Reports (SF–269).* Financial Status Reports should be completed and provided to the Office of the Comptroller's Control Desk within 45 days after the end of each calendar quarter during the grant period.

- *Categorical Assistance Progress Reports (OJP Form 4587/1).* Categorical Assistance Progress Reports should be completed and provided to the Office of the Comptroller's Control Desk within 30 days after the end of the June 30 and December 31 semiannual reporting periods.

Services to Limited English Proficient (LEP) Persons

Recipients of Office of Justice Programs (OJP) financial assistance are required to comply with several Federal civil rights laws, including Title VI of the Civil Rights Act of 1964 ("Title VI") and the Omnibus Crime Control and Safe Streets Act of 1968 ("Safe Streets Act"), as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services.

National origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI and the Safe Streets Act, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary.

Grantees are encouraged to consider the need for language services for LEP persons served or encountered both in developing their proposals and budgets and in conducting their programs and activities. Reasonable costs associated with providing meaningful access for LEP individuals are considered allowable program costs.

The U.S. Department of Justice has issued guidance for grantees to assist them in complying with Title VI requirements. The guidance document can be accessed on the Internet at www.lep.gov , by contacting OJP's Office for Civil Rights at 202–307–0690, or by writing to the following address: Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW., 8th Floor, Washington, DC 20531.

Single Point of Contact Review

Executive Order 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the state Single Point of Contact (SPOC) if one exists and if this program has been selected for review by the state. A list of state SPOCs is available on the Office of Management and Budget Web site (www.whitehouse.gov/omb/grants/spoc.html). Applicants must contact their state SPOCs to determine whether their programs have been selected for state review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in Block 3 of the Overview section of the GMS application.

Suspension or Termination of Funding

OJJDP may suspend funding in whole or in part, terminate funding, or impose other sanctions on a recipient for the following reasons:

- Failing to comply substantially with the requirements or statutory objectives of the appropriate Act, program guidelines issued thereunder, or other provisions of federal law.
- Failing to make satisfactory progress toward the goals, objectives or strategies set forth in the application.
- Failing to adhere to the requirements in the agreement, standard conditions, or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit reports.
- Filing a false certification in this application or other report or document.

Before imposing sanctions, OJJDP will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in U.S. Department of Justice regulations in 28 CFR Part 18.

Table of Contents for OJP's *Financial Guide*

All OJP grantees are required to adhere to the Office of Justice Programs' *Financial Guide*, which contains information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. This document will govern the administration of funds by all successful applicants and their contractors. The *Financial Guide* covers the following information (subject to updates):

Part I—General Information
Chapter 1: Users
Chapter 2: Circulars and Common Rules
Chapter 3: Conflicts of Interest

Part II—Pre-Award Requirements
Chapter 1: Application Process
Chapter 2: Conditions of Award and Acceptance
Chapter 3: Standards for Financial Management Systems

Part III—Post Award Requirements
Chapter 1: Payments
Chapter 2: Period of Availability of Funds
Chapter 3: Matching or Cost Sharing
Chapter 4: Program Income
Chapter 5: Adjustments to Awards
Chapter 6: Property and Equipment
Chapter 7: Allowable Costs
Chapter 8: Confidential Funds
Chapter 9: Subawards of Discretionary Project—Supported Effort
Chapter 10: Procurement Under Awards of Federal Assistance
Chapter 11: Reporting Requirements
Chapter 12: Retention and Access Requirements for Records
Chapter 13: Sanctions
Chapter 14: Termination for Convenience
Chapter 15: Costs Requiring Prior Approval
Chapter 16: Unallowable Costs
Chapter 17: Indirect Costs
Chapter 18: Closeout
Chapter 19: Audit Requirements

Part IV—Organization and Program Information
Chapter 1: Organization Structure
Chapter 2: Legislative Authority

The Financial Guide is available on the OJP Web site (www.ojp.usdoj.gov/FinGuide/).

Web Sites Providing Information on Evidence-Based Programs

Model Programs Guide
ojjdp.ncjrs.org/programs/mpg.html

Blueprints for Violence Prevention
Center for the Study and Prevention of Violence
University of Colorado
www.colorado.edu/cspv/blueprints

Preventing Crime: What Works, What Doesn't, What's Promising
A Report to the United States Congress
University of Maryland
www.ncjrs.org/works

Substance Abuse and Mental Health Services Administration Model Programs
U.S. Department of Health and Human Services
modelprograms.samhsa.gov

Strengthening America's Families
Effective Family Programs for Prevention of Delinquency
Department of Health Promotion and Education
University of Utah
www.strengtheningfamilies.org

Youth Violence: A Report of the Surgeon General
U. S. Department of Health and Human Services, Centers for Disease Control and Prevention,
National Center for Injury Prevention
Substance Abuse and Mental Health Services Administration, Center for Mental Health Services, and
National Institutes of Health, National Institute of Mental Health
www.surgeongeneral.gov/library/youthviolence/toc.html

Exemplary and Promising Safe, Disciplined and Drug-Free Schools Programs 2001
Safe, Disciplined and Drug-Free Schools Expert Panel
U.S. Department of Education
www.ed.gov/admins/lead/safety/exemplary01/exemplary01.pdf

Juvenile Justice Evaluation Center
Justice Research Statistics Association
www.jrsa.org/jjec

Sample Project Abstract

The following is a sample project abstract.

In 2002, Johnson County had a truancy rate of 12 percent. Several studies have established that lack of commitment to school is a risk factor for delinquency (Dryfoos, 1990; Catalano et al., 1998). Although many factors are associated with truancy, previous research indicates a particularly strong correlation between truancy and lack of parental involvement (Catalano et al. 1998). The ABC Project seeks to increase the parental involvement in Johnson County's at-risk youth population to address the county's high truancy rate. The project's primary activity will be the operation of parenting classes for the parents of truant youth. The project will offer the classes twice a week for 12 weeks. The project seeks to serve at least 100 parents over a 2-year period. Progress will be measured by the number of participants attending the classes and the number of parents completing the 12-week course. The project will also track the truancy rates of the students of the parents who attended the classes for a year after program completion.

SAMPLE

Sample Logic Models

Sample Logic Model—Generic							
Situation Analysis	Priority Setting	Inputs	Activities	Outputs	Outcomes / Impacts		
Problem Idenitification What is the problem or issue your project was designed to address?	Goals Goals are broad statements about what the program intends to accomplish. Goals should reflect the intended long-term outcomes of the program. Broadly speaking, what do you intend to accomplish with the program?	Resources Resources are the means available to achieve program objectives. (Objectives are the program's expected achievements and must be well-defined, specific, measurable, and derived from the program goals.) What do you need to run the program?	Activities The program efforts conducted to achieve the program objectives. Activities are directly linked to outputs. What will program staff do?	Process Measures Data used to demonstrate the implementation of activities. Includes products of activities and indicators of services provided. What did the program produce?	Actual changes in the target of the program (e.g., clients or systems) that are directly related to the program goal(s) and objectives. Outcomes may be intended or unintended. What happened as a result of the program?		
					Initial Immediate results of the program. They include: Learning Awareness Knowledge Attitude Skills Opinions Aspirations Motivations	Intermediate Results following the initial outcomes. They include: Action Behavior Practice Policies Social Action Decisionmaking	Long-Term Ultimate impact of the program. They relate to the achievement of the goals. They include: Conditions Social Economic Civic Environment These are changes that will likely occur outside of the grant period.

SAMPLE

Sample Logic Model—Direct Service Project							
Situation Analysis	Priority Setting	Inputs	Activities	Outputs	Outcomes / Impacts		
Problem Identification 1. Rates of delinquency of XX. 2. Rates of teen pregnancy of XX.	Mission Goals Among the target youth (i.e., those identified as being at-risk): 1. Reduce rates of arrest. 2. Reduce rates of teen pregnancy.	1. $150,000 earmark grant. 2. Staff time of 2 FTE. 3. Space of one gymnasium and two classrooms. Data from program records.	Serve 100 youth per schoolyear through operation of a sports camp for 2 hours per day during 2005–06 schoolyear. (In addition to sports activities, this includes the collection of referrals, enrollment, and orientation.)	1. Number of hours of camp operation. 2. Number of youth served. Data from program records.	Initial Increase motivation to participate in prosocial activities as indicated by the number of hours received per youth. Data from program records.	Intermediate Reduce delinquent and risky sexual behaviors among participants as indicated by the: 1. Number of arrests per participant. 2. Number of pregnancies per participant. Data from self report and police records.	Long-Term Reduce delinquent and risky sexual behaviors among members of the target group as indicated by the: 1. Arrest rates among at-risk youth. 2. Teen pregnancy rates among at-risk youth. Data from police and public health records.

SAMPLE

Sample Logic Model—System Change Project							
Situation Analysis	Priority Setting	Inputs	Activities	Outputs	Outcomes / Impacts		
Problem Identification 1. 50% rate of unsuccessful probation completion.	Mission Goals 1. Increase the number and percentage of youth who successfully complete their probation.	150,000 earmark grant.	1. Obtain signed MOUs from justice agencies that outline processes for sharing youth assessment data. 2. Obtain signed MOUs from local treatment providers giving the probation department priority with regard to treatment slots.	1. Number of MOUs signed. 2. Percentage of identified agencies that have signed MOUs. Data from project records.	Initial Increase organizational capacity to provide treatment, as indicated by: 1. The number of treatment slots available to probation. 2. The number and percent of files containing complete assessment data. 3. Average number of days required to get complete treatment Data from project records.	Intermediate Increase the percentage of youth assessed as needing substance abuse treatment who receive it, as indicated by: 1. The number and percent of youth assessed as needing treatment that enroll in treatment. 2. The number and percent of youth entering treatment to successfully complete treatment. Data from justice and provider records.	Long-Term Increase the number and percentage of youth that successfully complete their probation requirements, as indicated by the percentage of successful probation completions. Data from justice system records.

SAMPLE

Sample Project Timeline

Month	Project Goal	Related Objective	Activity	Expected Completion Date	Person Responsible
1	Off-track student A begins garden/computer courses; students B and C begin homework/ tutoring.	Off-track students receive educational input when out of school, become reinvested in learning, and develop new skills in project areas. On-track students notice improvement in grades, attendance and mathematics and literacy skills.	Students designate and complete a certain project in these fields and learn about biology, math, art, design, and literacy through hands-on activities and active participation in a creative educational endeavor. On-track students receive individualized homework help and tailored "game-plan" for improved grades and attendance.	End of month 2.	Project Director, Alice Smith
2	Identify and provide counseling for at-risk students.	Provide individual and group counseling for up to 200 identified at-risk students. Referrals are ongoing throughout the school year.	Begin student referral process. Form 15 student peer groups consisting of 10 students and facilitated by coordinators who meet weekly throughout the year.	Ongoing.	Project Director, Alice Smith
3	Evaluation	Track student progress.	Administer quizzes and portfolio assessments, project progress assessment. Begin teacher check-ins, grade assessment, progress reports.	End of month 6.	Program Coordinator, John Smith
4					
5					
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SAMPLE

Sample Budget Detail Worksheet

OMB APPROVAL NO. 1121-0188
EXPIRES 5-98 (Rev. 1/97)

Budget Detail Worksheet

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

A. Personnel

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

Name/Position	Computation	Cost
John Smith, Investigator	*($50,000 x 100%)*	*$50,000*
2 Investigators	*($50,000 x 100% x 2)*	*$100,000*
Secretary	*($30,000 x 50%)*	*$15,000*
Cost of living increase	*($165,000 x 2% x .5 yr.)*	*$1,650*
Overtime per investigator	*($37.50/hr. x 100 hrs. x 3)*	*$11,250*

The three investigators will be assigned exclusively to homicide investigations. A 2% cost of living adjustment is scheduled for all full-time personnel 6 months prior to the end of the grant. Overtime will be needed during some investigations. A half-time secretary will prepare reports and provide other support to the unit.

SAMPLE

TOTAL $177,900

B. Fringe Benefits

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

Name/Position	Computation	Cost
Employer's FICA	*($177,900 x 7.65%)*	*$13,609*
*Retirement**	*($166,650 x 6%)*	*$9,999*
Uniform Allowance	*($50/mo. x 12 mo. x 3)*	*$1,800*
*Health Insurance**	*($166,650 x 12%)*	*$19,998*
Workman's Compensation	*($177,900 x 1%)*	*$1,779*
Unemployment Compensation	*($177,900 x 1%)*	*$1,779*

**($177,900 less $11,250)*

TOTAL $48,964

Total Personnel & Fringe Benefits $226,864

OJP FORM 7150/1 (5-95)

C. Travel

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

Purpose	Location	Item	Computation	Cost
Training	*Boston*	*Airfare*	*($150 x 2 people x 2 trips)*	*$600*
		Hotel	*($75/night x 2 x 2people x 2 trips)*	*$600*
		Meals	*($35/day x 3 days x 2 people x 2 trips)*	*$420*
Investigations	*New York*	*Airfare*	*($600 average x 7)*	*$4,200*
		Hotel and Meals	*($100/day average x 7 x 3 days)*	*$2,100*

Two of the investigators will attend training on forensic evidence gathering in Boston in October and January. The investigators may take up to seven trips to New York City to follow up investigative leads. Travel estimates are based on applicant's formal written travel policy.

TOTAL $7,920

SAMPLE

D. Equipment

[List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of $5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than $5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.]

Item	Computation	Cost
3 - 486 Computer w/CD ROM	*($2,000 x 3)*	*$6,000*
Video Camera	*$1,000*	*$1,000*

The computers will be used by the investigators to analyze case and intelligence information. The camera will be used for investigative and crime scene work.

TOTAL $7,000

E. Supplies

[List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less that $5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than $5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.]

Supply Items	Computation	Cost
Office Supplies	*($50/mo. x 12 mo.)*	*$600*
Postage	*($20/mo. x 12 mo.)*	*$240*
Training Material	*($2/set x 500 sets)*	*$1,000*

Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.

TOTAL 1,840

SAMPLE

F. Construction

[As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Please see OJP's *Financial Guide* for specific requirements regarding construction costs and check with the program office before budgeting funds in this category.]

Purpose	Description of Work	Cost
Minor repairs	*Repair work tables*	*$3,000*
	Rebuild evidence storage units	*$2,000*

The repairs are needed to upgrade the forensic lab used to analyze evidence for homicide cases.

TOTAL $5,000

G. Consultants/Contracts

[Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.]

Consultant Fees

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

Name of Consultant	Service Provided	Computation	Cost
John Doe	*Forensic Specialist*	*($150/day x 30 days)*	*$4,500*

John Doe, Forensic Specialist, will be hired, as needed, to assist with the analysis of evidence in homicide cases.

Subtotal $4,500

Consultant Expenses

[List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.).]

Item	Location	Computation	Cost
Airfare	*Miami*	*($400 x 6 trips)*	*$2,400*
Hotel and Meals	*Miami*	*($100/day x 30 days)*	*$3,000*

John Doe is expected to make up to 6 trips to Miami to consult on homicide cases.

Subtotal $5,400

SAMPLE

Contracts

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

Item	Cost
Intelligence System Development	*$102,000*

The State University will design an intelligence system to be used in homicide investigations. A sole source justification is attached. Procurement Policy is based on the Federal Acquisition Regulation.

Subtotal $102,000

TOTAL $111,900

H. Other Costs

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

Description	Computation	Cost
Rent	*(700 sq. ft. x $15/sq. ft.)($875/mo. x 12 mo.)*	*$10,500*
Telephone	*($100/mo. x 12 mo.)*	*$1,200*
Printing/Reproduction	*($150/mo. x 12 mo.)*	*$1,800*

This rent will pay for space for the new homicide unit. No space is currently available in city-owned buildings.

TOTAL $13,500

SAMPLE

I. Indirect Costs

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

Description	Computation	Cost
10% of personnel and fringe benefits	*($226,864 x 10%)*	*$22,686*

The indirect cost rate was approved by the Department of Transportation, the applicant's cognizant Federal agency, on January 1, 1994. (A copy of the fully executed, negotiated agreement is attached.)

TOTAL $22,686

Budget Summary

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

Budget Category	Amount
A. Personnel	*$177,900*
B. Fringe Benefits	*$48,964*
C. Travel	*$7,920*
D. Equipment	*$7,000*
E. Supplies	*$1,840*
F. Construction	*$5,000*
G. Consultants/Contracts	*$111,900*
H. Other	*$13,500*
Total Direct Costs	*$374,024*
I. Indirect Costs	*$22,686*
TOTAL PROJECT COSTS	***$396,710***
Federal Request	*$396,710*
Non-Federal Amount	*$0*

SAMPLE

Step-by-Step Guide to OJP's Grants Management System

The Office of Justice Programs (OJP), of which the Office of Juvenile Justice and Delinquency Prevention (OJJDP) is a component agency, requires that applications for funding be submitted through OJP's Grants Management System (GMS). To access the system, go to https://grants.ojp.usdoj.gov. Applicants who experience difficulties at any point in this process should call the GMS Help Desk at 888–549–9901.

Step 1: Sign On

Applicants who already have a GMS user ID and password should select "GMS Sign-In." To register for a specific funding opportunity, proceed to step 2.

Applicants who do not have a GMS user ID should select "New User? Register Here." After providing the required information, click on "Create Account." Applicants should note their user ID and password, which are case sensitive. To register for a specific funding opportunity, proceed to step 2.

Step 2: Register on GMS/Select the Program

After logging onto the system using your user ID and password, click on "Funding Opportunities."

Select the "Office of Juvenile Justice and Delinquency Prevention" from the drop-down list and click "Search." This will narrow the list of solicitations to those in OJJDP.

From the list of OJJDP grants, find the specific program to which you want to apply and click "Apply Online."

Confirm that your organization is eligible to apply for this program by reading the text on the screen. If eligible, proceed by clicking "Continue."

Please note: many OJJDP programs require applicants to register on GMS prior to submitting a completed application. Consult the program announcement for the registration deadline, if any, of the funding opportunity to which you are applying.

Step 3: Complete Overview Information

Select "Application Non-Construction" in the "Type of Submission" section.

Refer to the program announcement for instructions for completing the "Type of Application" section.

If your state has a review and comment process under Executive Order 12372 (available online at policy.fws.gov/library/rgeo12372.pdf), then select either "Yes" and the date you made this application available under that review or "N/A" because this program has not been selected by your state for such a review. If your state does not have such a process, then select "No. Program Not Covered by E.O. 12372."

Click "Save and Continue."

Step 4: Complete Applicant Information

Answer "Yes" or "No" to the question about whether or not your organization is delinquent on any federal debt.

The rest of this page will prepopulate from the information you submitted during the registration process. Check this information for accuracy and relevance to your organization and make any needed changes.

Click "Save and Continue."

Step 5: Complete Project Information

Provide a title that is descriptive of your project.

List the geographic areas to be affected by the project.

Enter a start date and end date for the project. (Consult the program announcement for the start and end dates of the funding opportunity for which you are applying.)

Select all of the congressional districts that are affected by this application. To select multiple districts, hold down the CTRL key while making your selections.

Enter the amount of the grant for which your organization is applying in the federal line under the "Estimated Funding" section. If applicable, enter the amount of other contributions in the appropriate lines to explain the origins of the non-Federal match.

Click "Save and Continue."

Step 6: Review the SF–424

By answering the questions contained in the Overview, Applicant Information, and Project Information screens, you have completed the Standard Form 424 ("Application for Federal Assistance"). Take a moment to review the SF–424 to ensure that it is accurate.

If you need to make changes to any portion of the application, simply click that section along the left side of the screen and be sure to click "Save and Continue" after making any changes.

When you are sure that the information is accurate, click "Continue."

Please note: some OJJDP programs require applicants to complete the online SF–424 prior to submitting a completed application. Consult the program announcement of the funding opportunity to which you are applying for the deadline, if any, to complete the SF–424.

Step 7: Upload Attachments

You will be asked to upload three attachments to the online application system. The program announcement will provide specific instructions about the information to include in each of the three attachments:

- Budget Detail Worksheet (Attachment #1).

- Program Narrative (Attachment #2).
- Other Program Attachments (Attachment #3).

Please note: files attached to applications submitted online in GMS must be in the following formats: Microsoft Word (.doc), Excel (.xls), PDF files (.pdf), or text documents (.txt).

To upload these documents, click "Attach." A new window will open. To continue, click "Browse" and find the file on your computer or the network drive from which you wish to upload, then click on "Upload Your Document." A window that says "File Upload Successful" should pop up. Next to the upload list, the notation should change to "Attachment OK." Repeat these steps for all three uploads.

Depending on the size of the attachment and/or your computer connection, this process can take several hours. The system will shut down promptly at the deadline. Any incomplete application will not be accepted and no exceptions will be granted. Please plan accordingly.

If you encounter any difficulties uploading a file, click on "Tips for Successful Upload." This document will explain the usual problems with uploading files and will help you through them.

Click "Save and Continue."

Step 8: Complete the Assurances and Certifications

You will need to accept both the assurances document and the certifications document. To do so, click on the links marked "Assurances" and "Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements."

Read both documents. At the bottom of each one, click the "Accept" button.

When you have selected both documents, then enter the correct personal information for the person submitting the application.

Click the box next to the text at the bottom of the page to certify that the person submitting the application is authorized to accept these assurance and certifications.

Click "Save and Continue."

Step 9: Submit the Application

A list of application components will appear on the screen. Check to see that each component is marked as "Complete." If a component it marked "Incomplete," then click on the word to go to the section that needs to be completed. An explanation of what is missing will appear at the top of the screen.

In addition, read below the list of components for any language stating that your user ID has not been approved. Even if you have a complete application, you will be unable to submit it until OJJDP has approved your user ID. OJJDP will approve your user ID within 2 business days after you begin your application.