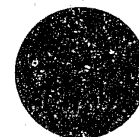


U.S. Department of Justice
Office of Justice Programs



Fiscal Year 1995 Corrections Boot Camp Initiative

Violent Offender Incarceration Grant Program

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U.S. Department of Justice
National Institute of Justice

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Program Guidelines and Application Information

Fiscal Year 1995 Corrections Boot Camp Initiative

NCJRS

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ACQUISITIONS

Violent Offender Incarceration Grant Program

Introduction

This document provides program guidelines and application information for fiscal year 1995 Corrections Boot Camp Initiative awards to be administered by the Corrections Program Office, Office of Justice Programs (OJP), U.S. Department of Justice. The Correctional Boot Camp Initiative implements the discretionary grant component of the Violent Offender Incarceration Grant Program authorized by Section 20101 of Subtitle A, Title II of the Violent Crime Control and Law Enforcement Act of 1994 (42 U.S.C. Section 13701-13709, and implemented by 28 CFR Part 91).¹

The program recognizes that States and local jurisdictions have experienced substantial increases in jail, prison, and juvenile confinement populations in recent years, resulting in escalating costs and serious difficulties in managing overcapacity corrections populations. In particular, the program emphasizes the need to make available conventional jail, prison, and juvenile corrections space for the confinement of violent offenders and to ensure that violent offenders remain incarcerated for substantial periods of time through the implementation of truth in sentencing laws.

By statute, the program funding in fiscal year 1995 is limited to the **development, construction, and expansion** of adult or juvenile corrections boot camp facilities for **nonviolent offenders**, which will free conventional prison, jail, and juvenile corrections space for the confinement of violent offenders.

It is important to note that the boot camp initiative offers a range of options for jurisdictions interested in a boot camp program -- from planning grants to new construction. **Planning funding** is available for those jurisdictions that are interested in initiating a boot camp program but have not engaged in the comprehensive planning and strategy development necessary to make such a program successful.

¹ Federal funding is authorized under Section 20101 of Subtitle A, Title II of the Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322 for grants to States, and States organized in multistate compacts, for assistance to correctional systems. Subtitle A provides for two grant programs: (1) Violent Offender Incarceration Grants and (2) Truth in Sentencing Incentive Grants. The statute contemplates the availability of \$7.9 billion in funding over 6 years. In fiscal year 1995, Congress appropriated \$24.5 million for a discretionary grant program to fund the construction-related costs of boot camps for nonviolent offenders.

Boot Camp Program Requirements

Grant awards will be made to States, and States organized in multistate compacts, to develop, construct, or expand boot camp programs which include coordinated, intensive aftercare services for participants following release. Fiscal year 1995 funds may **not** be used to cover operating costs of boot camps. Grant recipients, by statute, will be required to provide a 25-percent cash match.

Applicants must demonstrate that:

- there is a need for additional secure confinement space for violent offenders and that this need will be met through the federally funded construction or expansion of a boot camp facility for **nonviolent offenders** that frees additional secure confinement space;
- Federal funds will be used to supplement and **not supplant** other Federal, State, and local funds;
- Federal funds will be used only for **construction-related costs**, including planning, development, pre-architectural design, construction administration, fixed furnishings and equipment, and project management (whether expansion or new construction) of the boot camp facility;
- **staffing and operating costs** for the boot camp program will be funded by other than Federal grant funds;
- **eligibility criteria** has been established for offenders participating in the boot camp program; and
- the boot camp will include **coordinated intensive aftercare services** following the offender's release from the boot camp.

In addition, the Violent Offender Incarceration Grant Program includes a series of assurances that applicants must meet to be eligible to receive grant funds. While applicants for boot camp awards must indicate a **commitment toward meeting** these statutory assurances, they **must meet only** the requirements listed above to receive funds in fiscal year 1995. See Appendix A for further discussion of the statutory assurances.

The Office of Justice Programs will host a technical assistance workshop to provide potential applicants with additional explanation concerning the boot camp program in particular and the overall correctional facilities program in general. (See Appendix B.)

Definition of Boot Camp

Boot camps are defined as corrections programs for adult or juvenile offenders of no more than 6-months confinement (not including time in confinement prior to assignment to the boot camp) involving:

- (1) assignment for participation in the program, in conformity with State laws, by offenders other than offenders who have been convicted at any time for a **violent felony** or similarly adjudicated juveniles;
- (2) adherence by inmates to a regimented schedule that involves strict discipline, physical training, and work;
- (3) participation by inmates in appropriate education, job training, and substance abuse counseling or treatment; and
- (4) post-incarceration aftercare services for participants that are coordinated with the program provided during the period of confinement.

Definition of a Violent Felony

A "violent felony" means a crime punishable by imprisonment for a term exceeding 1 year, or an act of juvenile delinquency that would be punishable by imprisonment for such term if committed by an adult, **that:** (1) involves the use or attempted use of a firearm or other dangerous weapon against another person, or (2) results in death or serious bodily injury to another person, or (3) is a serious sex offense.

The definition of a violent felony is purposefully narrow so as to afford State applicants maximum flexibility in designating the target population for boot camp participation.

Target Population

Adult or juvenile offender populations may qualify for the target group. Although boot camps funded under this initiative target nonviolent offenders, applicants must demonstrate that the target population would, without entering this program, be institution-bound and/or spend additional time confined in a secure institution. Moreover, applicants must justify that the proposed new facility will confine adequate numbers of offenders to warrant construction and ongoing operation. In particular, in concert with the legislative intent of Title II, documentation

should show that the proposed boot camp program will free sufficient space in prisons, jails, or juvenile corrections facilities to house violent offenders. In addition, applicants must provide information on offender selection criteria, including demonstrating that the target population has had no previous convictions for violent felonies.²

According to research findings, the following conditions characterize those programs that have reduced prison/jail/juvenile populations below levels that otherwise would have occurred and have, thereby, achieved reductions in a cost-effective manner. Applicants are encouraged to develop programs that exhibit similar conditions.

- Those admitted to the boot camp are sentenced offenders or parole violators with a very high probability of imprisonment or re-imprisonment.
- Offenders in boot camps are confined for substantially less time than they would have been if they had served their regular prison terms.
- Programs have maintained relatively low in-program and post-release failure rates.
- The boot camp program is relatively large-scale in relation to the correctional system's total offender population.³

State/Local Partnerships

While States, or multistate compacts, are the only eligible applicants for funds, the statute envisions a Federal, State, and local collaboration to address the problems associated with the incarceration and punishment of violent offenders. Specifically, the statute requires that States both "involve" and "share funds" with counties and other units of local government.

Toward that end, units of local government interested in developing or constructing boot camps with fiscal year 1995 grant funds are encouraged to seek funding through their States. Local governments requesting pass-through funding from State applicants must be committed to the comprehensive corrections planning process that is included as one of the statutory assurances.

² For information on the targeting of correctional populations, applicants are referred to *The Intermediate Sanctions Handbook: Experiences and Tools for Policy Makers*. Washington, DC: National Institute of Corrections, U.S. Department of Justice, 1993: 91-111.

³ Dale G. Parent, "Boot Camps Failing to Achieve Goals," *Overcrowded Times* 5(4) (1994): 8-11. For a brief review of the literature on boot camp effectiveness see Appendix C.

They must also demonstrate how they will collaborate with their State applicant in complying with the other assurances and in developing their proposed boot camp program.

States, in turn, are **strongly** encouraged to recognize the rights and needs of local units of government in addressing the problems associated with the incarceration and punishment of violent offenders by, at a minimum, including representatives from organizations such as the State Association of Counties, the State Sheriffs' Association, or other similar organizations representing the interests and needs of units of local government in the development of the comprehensive corrections plan.

Boot Camp Program Guidelines

Applicants should consult the program guidelines provided below when developing their applications. These guidelines were developed from practitioner input and research findings conducted on boot camp programs.⁴ **While they represent a set of core principles to guide applicants in program development and effectiveness, they are not essential program requirements.** Applications with innovative institutional and reentry program designs and which incorporate the program guidelines as part of their proposed boot camp planning and implementation processes will be reviewed most favorably.

Development Process

Jurisdictions are encouraged to engage in a development process which includes the following:

- (a) Key decisionmakers are actively involved in, supportive of, and committed to the development and implementation of the boot camp;
- (b) Data and information required for sound program design, implementation, and evaluation are gathered, analyzed, and used to assist in the development and implementation of the boot camp;
- (c) Related government and community initiatives that will complement the proposed boot camp program are coordinated with this development process; and

⁴ The program guidelines combine principles developed by a recent Bureau of Justice Assistance-sponsored focus group and a DOJ interdepartmental working group. For additional information see *Correctional Boot Camps and Reintegration Programs: A Report on Issues and Options*. Washington, DC: Bureau of Justice Assistance, 1994. Applicants are also referred to the *Standards for Adult Boot Camp Programs*. American Correctional Association, January 1995, available by calling the ACA at 1-800-825-2665.

- (d) Planning of a continuum of both institutional and community-based programs aimed at restoring offenders to a productive, law-abiding, self-reliant life style is included.

Organization/Operations

Once operational, a table of organization should be developed that clarifies the relationship of the boot camp to the operating agency. There should be **clear and comprehensive daily operational rules and regulations** that can be easily understood by staff and offenders. Corrections boot camps should not operate in a way that abridges or otherwise denies participants' fundamental rights.

Discipline

Applicants are encouraged to develop a behavioral management system that relies heavily on positive reinforcement of pro-social behavior, that gives offenders frequent and accurate appraisals of their conduct, and that structures punishments administered for misconduct to ensure they are fair, safe, and consistent with constitutional mandates.

Institutional Programming

Individualized case management plans for each offender ensure that needed services are provided throughout the boot camp program, including the community re-entry/aftercare component of the program. The case management plan should include physical and mental health appraisals, testing to determine educational levels and needs, substance abuse appraisals, and assessments of vocational interests and aptitudes. The program elements should include some combination of the following based on the needs and risks presented by the target population: substance abuse treatment/education, literacy training and education, counseling, world-of-work readiness and job training, community service, life skills, cognitive development, family preservation, victim awareness, anti-violence strategies, and other program components as determined.

Programmatic components should be designed to develop and maintain unit cohesiveness throughout the boot camp program, including when possible, the aftercare portion of the program.

Staff

Written standards for personnel selection and training should be designed to create a staff able to carry out the program and to prevent verbal or physical abuse of offenders. There should be an adequate level of supervision to ensure staff compliance with established policies and procedures.

Physical Plant/Conditions of Confinement⁵

It is highly desirable that boot camps be separate institutions, although they may be attached to or adjacent to other facilities and share common support services such as food service, laundry, etc. Conditions of confinement shall be specified in written guidelines protecting the rights of both staff and inmates. Architecture and physical plans should reflect the goals and objectives of the program.

Innovative Program Delivery

Applicants are encouraged to develop innovative programs and service delivery methods which incorporate principles based on the accumulation of research and sound and effective corrections practice, including approaches such as outward bound, environmental reclamation projects, community service, sports, and/or other designs in addition to or other than the military model. Program delivery may involve public/private partnerships with foundations, community colleges, and private sector service/treatment providers. The overall program design should promote a continuous, seamless service delivery network that uses the institutional portion of the boot camp experience as a platform for reinforcing and enhancing an offender's continuing behavioral change and skill acquisition in the community.

Intensive, Coordinated Aftercare

Research studies of boot camp effectiveness have emphasized the importance of aftercare services to offenders during the period of community re-entry. Moreover, the **statute requires** that the institutional phase of the boot camp program be followed by "aftercare services for participants that are coordinated with the program provided during the period of confinement."

An aftercare plan based on the offender's original case management plan and building on the participant's institutional successes and failures should be developed prior to each offender's release from the boot camp facility. The agencies operating the boot camp and aftercare phases should coordinate policies and develop appropriate protocol to assure a high level of cooperation in the transition and a high level of continuity in treatment and services. There should be a full range of public/private services for continuity of institutional programs. Supervision should be case determined. The aftercare phase of the program should focus on offenders becoming self-sufficient, drug free, law-abiding citizens. Where appropriate, supportive work/community service, family preservation,

⁵ Boot camps funded under this initiative must comply with the provisions of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, which prohibit juveniles who are adjudicated delinquent in juvenile or family court from being held in secure facilities with adult offenders.

temporary housing, and mentors are desirable components throughout the aftercare phase. It is desirable for parole staff (where parole exists) to be involved with the boot camp to coordinate release planning for this phase.

Juvenile Boot Camps

Juvenile boot camps should be designed to prevent at-risk juvenile offenders from becoming violent offenders. This desired outcome will most likely be accomplished if the jurisdiction engages in efforts that maximize the likelihood that juvenile boot camp participants would otherwise be incarcerated in traditional secure facilities. Participation should be limited to those youths who have been adjudicated delinquents and who have been referred to the juvenile corrections agency. Among this population, juvenile offenders who have no prior commitments to juvenile confinement facilities and whose escalating patterns of delinquent behavior indicate that an authoritative boot camp intervention is likely to suppress or abate emerging tendencies towards chronic or violent delinquent behavior should be considered prime candidates for boot camp participation.

The following discussion provides additional guidance relating to juvenile boot camp programs in particular. As with the adult program guidelines these principles are **not mandatory** but proposals that include them will be reviewed favorably. The six key components to ensuring an effective juvenile boot camp program are: (1) education, job training, and placement; (2) community service; (3) substance abuse counseling and treatment; (4) health and mental health care; (5) continuous, individualized case management; and (6) intensive aftercare services fully integrated with the boot camp program.

Education, job training, and placement are vital to individual and program success rates in juvenile boot camps. Juveniles who have had contact with the justice system, school dropouts, and other at-risk youth respond positively to a comprehensive array of remedial education, vocational training, job counseling, and readiness and placement services. This focus on acquiring marketable job skills and jobs presents boot camp participants with a viable alternative to drug dealing and other illegal methods of earning money (Polsky and Fast, 1993).

Having served as a valuable tool to develop youth employment and social skills and promote pro-social attitudes among dropouts, **community service** can play a key role in boot camp education programs. Given the personal histories of delinquency and school failure which follow juveniles eligible for boot camp placement, community service represents an opportunity to experience positive accomplishments. Such accomplishment increases personal motivation and commitment to improving literacy and vocational skills. Successful models of youth service include Youth Service America, Youthbuild USA, Youth Leadership Council, Youth Volunteer Corps of America, Milwaukee and California Conservation Corps and others.

Substance abuse counseling and treatment are key components of any effective juvenile boot camp program. Given the relatively high rates of alcohol and drug use, poor nutrition, exposure to sexually transmitted diseases, and other health problems manifested by juveniles eligible for boot camps, appropriate adolescent health care services are an important adjunct to substance abuse programming. Likewise, an emphasis on family preservation programs represents a key mental health intervention for adolescents in boot camps.

Continuous, individualized case management is the fifth core component of effective juvenile boot camp programs. The most successful program model targets a case management team for each juvenile and assigns that team the responsibility for developing a case plan at the start of the boot camp phase. The same team maintains responsibility for implementing the case plan during the aftercare phase of the program.

Intensive, coordinated aftercare services, a statutory requirement, constitute a sixth component essential to the success of juvenile boot camps. Planning which begins before juveniles are released ensures effective coordination and consistent follow-through with services which mirror those provided within the boot camp facility. Joint training of juvenile boot camp and aftercare staff facilitates a common approach with respect to program philosophy and operation.

Preliminary review of several juvenile boot camps indicates the value of a transitional residential aftercare program to bolster progress made before juveniles are returned to high-crime neighborhoods. Centrally located aftercare facilities accessible by public transportation and on gang-neutral turf show the greatest promise of success during this transitional period. Flexibility is also key to designing comprehensive, coordinated aftercare services to meet the needs of individual juveniles. For example, some juvenile boot camp graduates may benefit from attending an alternative school while others may do better taking GED courses at a local community college. Ongoing linkages with other community education, recreation, and private sector programs and resources will ensure the juvenile aftercare component is neither isolated nor self-contained.

Permissible Uses for Funds/Local Match

Grant funds may be used for:

- boot camp planning and development;
- pre-architectural programming, architectural design, and construction administration;
- construction-related costs;

- fixed furnishings and equipment; and
- construction management or project management costs.

Grant funds **may not be used for:**

- site evaluation and acquisition, and offsite improvement, and
- corrections boot camp facility staffing/operations and aftercare staffing/operations.

Applicants are advised that the Federal share of a grant received may not exceed 75 percent of the total cost of a proposal described in the application. The 25-percent matching requirement must be met through a cash match and must be satisfied by the end of the project period. A certification to that effect must accompany the application. Match is restricted to the same use of funds as allowed for the Federal funds. Accordingly, for the boot camp program, staffing/operating costs **do not** qualify as matching funds.

Award Period/Award Amounts

The award period is **up to:**

- 12 months for planning and development grants,
- 18 months for renovation of existing facilities, and
- 24 months for new facility construction.

Grant amounts will be awarded for **up to:**

- \$50,000 for planning and development only,
- \$1,000,000 for renovation of an existing boot camp facility, and
- \$2,000,000 for the construction of a new facility.

Selection Criteria

All applicants will be evaluated based on the following criteria:

Meeting the Goals of the Program

This initiative emphasizes the statute's intent to make sufficient conventional jail, prison, and juvenile corrections space available for the confinement of violent offenders and to ensure that violent offenders remain incarcerated for substantial periods of time. Successful pursuit of Federal funding for boot camp programs therefore requires the applicant to: (a) describe the target population, (b) demonstrate that the target population meets the program requirements, (c) show that there are sufficient numbers of offenders that meet this profile, and (d) describe how the proposed boot camp will have a significant impact on the prison/jail/juvenile violent offender population in secure facilities.

Boot Camp Program Plan

A preliminary program plan should specify the following: (a) the philosophy and goals of the proposed boot camp program, (b) the programs and services to be delivered during both the institutional and aftercare phases of the program, and (c) the administrative mechanisms that will oversee the management of the corrections boot camp program, including the community aftercare phase and its continuity with the institutional phase. Applicants will be rated in this category on the innovation and creativity of the approach and how the program relates to the principles in the guidelines provided here.

Boot Camp Facility Plan

A preliminary facility plan should include a space plan supporting the proposed boot camp program elements, the facility's proposed physical structures/components, its approximate required size, and specific offsite construction issues.

Management Resources

Applicants must describe the capabilities and work experience of the individuals who will be responsible for participant selection, program planning, and facility construction and must demonstrate that these individuals have the authority, capability, and commitment to achieve the goals of the program with regard to increasing secure space for violent offenders, constructing an effective boot camp, and providing for effective boot camp programming and an intensive aftercare component.

Budget

A preliminary budget should contain the estimated costs of planning, developing, and/or constructing/modifying/expanding the proposed boot camp facility. The budget must be complete, reasonable, and cost-effective in relation to the proposed planning and/or facility construction processes.

Applicants should also be aware that it is OJP's intention to make awards to jurisdictions of various sizes and in different geographic areas throughout the United States.

Evaluation

A national evaluation, as well as a number of local level evaluations, will be conducted of various boot camp programs. The purpose of these evaluations will be to assess the process of implementing this program, as well as outcome evaluations based on measurable goals and objectives. Evaluators may visit grantee sites to collect data for these evaluations. All selected applicants must be willing to cooperate in such evaluations and participate in providing the necessary information that may be requested. In addition, grantees are encouraged to include their own evaluation plan as part of their application. See Appendix D for further information on the national evaluation strategy.

Application and Administrative Requirements

Application Requirements

Applicants need to follow the instructions contained here and *submit a fully executed application to the Corrections Program Office, OJP, 633 Indiana Avenue NW, Washington, D.C. 20531 postmarked no later than June 1, 1995*. A signed original application and three copies are required. Copies of the standard required forms and the assurances required of all applicants for Federal funds are included in Appendices H and I of this application kit, and the required certifications are included in Appendix J. *Awards are anticipated by August 1, 1995*.

If an application is submitted on behalf of more than one agency, the relationships between agencies must be fully described in the application. In addition, one agency must be designated as the payee to receive and disburse funds and to be responsible for the supervision and coordination of grant activities.

A fully executed application should be prepared in the following manner: all applications must be submitted on 8 1/2 x 11 paper; all of the required materials should be stapled together and not otherwise bound, and should be printed on one side of the paper; all applications must be typed and double-spaced where applicable. The abstract, budget narrative, program narrative, statutory assurances, and evaluation sections of the application should not exceed 30 double-spaced pages. Any appendices should be brief and directly supportive of material presented in the body of the application. Video presentations are not permitted.

Discretionary grant funds are governed by the provisions of the Office of Management and Budget (OMB) circulars applicable to financial assistance. The circulars, along with additional information and guidance, are contained in the *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.

For further information, you may contact the Department of Justice Response Center at 1-800-421-6770 or (202) 307-1480 or write to 633 Indiana Avenue, N.W., Washington, D.C. 20531.

The Boot Camp Application

All applicants must submit a completed Application for Federal Assistance (Standard Form 424), including a detailed budget. A copy of Standard Form 424 is provided in Appendix H. For purposes of the SF-424, the Catalog of Federal Domestic Assistance number for this program is 16.586 and the title is Fiscal Year 1995 Corrections Boot Camp Initiative (Block 10). Also included in Appendix G is a **sample completed form**.

The application should include information, as described below, in the following areas: abstract, budget narrative, program narrative, statutory assurances, and evaluation plan:⁶

Abstract - A brief abstract or summary describing the proposed boot camp program and facility plan and how the boot camp will fit into the applicant's overall corrections strategy.

Budget Narrative - The budget narrative should describe clearly:

- The proposed amount (by cost categories) and uses of **Federal expenditures** over the grant period (limited to planning, development and construction-related costs).
- The proposed amount and sources of **non-Federal** expenditures over the grant period, including for construction-related costs, staffing costs, facility operational costs, and the costs associated with the aftercare program.
- How the applicant's match will be made.
- How the amounts of these specific budget items were determined.

Program Narrative - The program narrative should provide description and documentation that supports the goals of the boot camp program as described herein, including information regarding:

- The target offender population and how that population meets the goals of this program.
- The current available resources and facilities for the target population and how the proposed boot camp will impact the overall corrections program, particularly with regard to increasing secure confinement space for violent offenders.

⁶ Applicants applying for planning/development grants only should adjust their submissions accordingly.

- Whether the target population for the proposed program exists in sufficient numbers to warrant the construction and ongoing cost-effective operation of the proposed facility.
- The linkages, inter-agency agreements, public/private partnerships, and/or resources available (or projected upon implementation of the applicant's program) to meet the program guidelines.
- The key stakeholders who will participate in planning and implementing the proposed boot camp program, the roles and responsibilities of those stakeholders in the development of the boot camp program, and identification of the individual(s) and/or organizational unit(s) that will be responsible for managing the facility planning effort, boot camp program, and aftercare component.
- The boot camp program elements and how that programming will contribute to meeting the objectives of the program.
- A preliminary facility space plan that supports the program elements delineated in the applicant's program plan.
- The proposed post-incarceration aftercare service and how it will be coordinated with the program carried out during the institutional phase of the boot camp.

Statutory Assurances - Applicant's acceptance of a commitment to meeting the statutory assurances for fiscal year 1996 funding and beyond as discussed in Appendix A.

Evaluation Plan - Plan that indicates the applicant's capacity to generate data required for a rigorous outcome evaluation and the amenability of State/local staff to engage in collaborative efforts with a national evaluation team as discussed in Appendix D.

Administrative Requirements

Grant Funds Must Supplement and Not Supplant

As part of this application, the applicant must sign a certification that no supplanting of non-Federal funds will take place should a grant award be made. This certification shall be treated as a material representation of fact upon which reliance will be placed in the Office of Justice Program's determination whether to award this grant.

Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

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. The State Single Points of Contact are listed in Appendix K. Applicants must contact their State SPOC to determine if the program has been selected for State review.

Audit Requirement

State and local governments are governed by the Single Audit Act of 1984 and OMB Circular A-128, "Audits of State and Local Governments." The type of audit required under this Circular is dependent upon the amount of Federal funds received as follows:

- State or local governments that receive \$100,000 or more a year in Federal funds shall have an audit made in accordance with this Circular.
- State or local governments that receive between \$25,000 and \$100,000 a year in Federal funds shall have an audit made in accordance with this Circular or in accordance with Federal laws and regulations governing the programs in which they participate.
- State or local governments that receive less than \$25,000 a year in Federal funds shall be exempt from compliance with the Single Audit Act and other Federal audit requirements. These State and local governments shall be governed by audit requirements prescribed by State and local law or regulation.

Grantees are required to specify their arrangements for complying with the provisions of OMB Circular A-128 (i.e., period of State fiscal year, name and address of designated cognizant Federal agency, and Federal agency assigned by OMB). This information may be provided on a separate sheet of paper or in the cover letter transmitting the application.

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

Applicants should refer to the certification form in Appendix I to determine the certification(s) to which they are required to attest. Applicants also should review the instructions for certification included in the regulations referred to in the certification 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)," and with the coordination and non-supplanting requirements of the Violent Crime Control and Law Enforcement Act of 1994. The certification will be treated as a material representation of the fact upon which reliance will be placed by the Department of Justice in awarding grants.

Civil Rights

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. All applicants should consult the assurances to understand the applicable legal and administrative requirements.

In the event that any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs.

If the applicant is applying for a grant of \$500,000 or more and the Department regulations (28 CFR 42.301 *et. seq.*) require an Equal Opportunity Employment Plan. It should be included with the application submission if it is not already on file.

Suspension or Termination of Funding

OJP may suspend, in whole or in part, or terminate funding for, or impose other sanctions for the following reasons:

- Failure to substantially comply with the requirements or statutory objectives of the Violent Crime Control and Law Enforcement Act of 1994, program guidelines issued thereunder, or other provisions of Federal law; or

- Failure to make satisfactory progress toward the goals or strategies set forth in this application; or
- Failure to adhere to grant agreement requirements or special conditions; or
- Proposing substantial plan changes to the extent that, if originally submitted, they would have resulted in the application not being selected for funding; or
- Filing a false certification in this application or other report or document; or
- Other good cause shown.

Prior to the imposition of sanctions, OJP will provide reasonable notice to the grantee of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations in 28 CFR Part 18.

APPENDICES

Appendix A Statutory Assurances

Appendix B Technical Assistance

Appendix C Research Findings on the Effectiveness of Boot Camps

Appendix D Program Evaluation

Appendix E References

Appendix F Directory of Contacts for State, Adult Boot Camps

Appendix G Sample Application Form

Appendix H Standard Application Form and Instructions

Appendix I Assurances Required of all Federal Grant Recipients

Appendix J Certifications Regarding Lobbying;
Debarment, Suspension, and Other Responsibility Matters;
Drug-Free Workplace Requirements;
Coordination and Non-Supplanting Requirements

Appendix K Intergovernmental Review Process with a listing of
State Single Points of Contact (by State)

APPENDIX A

Statutory Assurances

States must meet several of the statutory assurances as part of the 1995 Corrections Boot Camp Initiative. These deal with: (1) ensuring space for violent offenders, (2) not supplanting State funds, and (3) providing the eligibility criteria for offender participation in the boot camp for which funding is requested.

While having a comprehensive corrections plan in place is not a required assurance this year, at a minimum the applicant should have developed a plan that demonstrates how the proposed boot camp program fits into the overall corrections plan.

With regard to the remaining statutory assurances, by accepting a boot camp grant award States are demonstrating a commitment toward meeting them and will be afforded a reasonable amount of time to comply. Those States in compliance with all the statutory assurances will be eligible for Subtitle A grant funds appropriated in fiscal year 1996 and beyond. OJP will provide technical assistance to those States requesting it to help meet these assurances.

Statutory Assurances for 1995 Boot Camp Funds

Ensure Space for Violent Offenders

Assurance that the boot camp awarded under this program will be used to ensure that additional secure space is available for the confinement of violent offenders

Discussion: Applications must demonstrate how the boot camp for which funds are being requested will meet this requirement.

Not Supplanting Other Funds

Assurance that Federal funds received will be used to supplement, not supplant, other Federal, State, and local funds.

Discussion: Funds made available through this grant program shall not be used to supplant or replace State, local, or other Federal funds but shall be used to increase the amount of funds that would, in the absence of this grant, be made available from State, local, or other Federal sources. In other words, as long as funds have not been appropriated for the boot camp at issue, grant funds will properly be used to supplement available funds. In those cases where funds have already been appropriated for the boot camp being requested, grant funds can properly be used to increase or expand (supplement) the boot camp to provide for additional bed space.

Eligibility Criteria for Boot Camp Participants

Description of the eligibility criteria for participation in any boot camp that is to be funded.

Discussion: Applicants must provide the eligibility criteria for boot camp participants as part of the application. Applicants should keep in mind that offenders who have committed a violent felony are **not eligible by statute** for boot camp participation under this program (see page 3 for the definition of a "violent felony").

Statutory Assurances for 1996 and Beyond⁷

Truth in Sentencing

Assurance that the State has implemented or will implement correctional policies and programs, including truth in sentencing laws, that:

1. ensure that violent offenders serve a substantial portion of sentences imposed,
2. are designed to provide sufficiently severe punishment for violent offenders, including violent juvenile offenders, and
3. ensure that prison time served is appropriately related to the determination that the inmate is a violent offender and will be confined for a period of time deemed necessary to protect the public.

Rights and Needs of Crime Victims

Assurances that the State has implemented policies that provide for the recognition of the rights and needs of crime victims.

Discussion: Specifically, States are encouraged to provide recognition of the rights and needs of crime victims in the following areas:

- providing notice to victims concerning case and offender status;
- providing an opportunity for victims to be present at public court proceedings in their cases;

⁷The comment period on the interim final regulations for the Violent Offender Incarceration Grant Program closes March 7, 1995. Subsequently, further definition and clarification of these assurances will be provided.

- providing victims the opportunity to be heard at sentencing and parole hearings;
- providing for restitution to victims; and
- establishing administrative or other mechanisms to effectuate these rights.

States are not required to adopt any mandated set of victims' rights measures in these areas for compliance, but the adoption by a State of measures which are comparable to or exceed those applied in Federal proceedings will be deemed sufficient compliance for eligibility for funding. If the State has not adopted victims' rights measures which are comparable to or exceed Federal law in these areas, the adequacy of compliance will be determined on a case-by-case basis.

Comprehensive Corrections Plan

Assurances that the State has developed a comprehensive corrections plan which represents an integrated approach to the management and operation of adult and juvenile correctional facilities and programs and which includes diversion programs, particularly drug diversion programs, community corrections programs, a prisoner screening and security classification system, appropriate professional training for corrections officers in dealing with violent offenders, prisoner rehabilitation and treatment programs, prisoner work activities (including to the extent practicable, activities relating to the development, expansion, modification, or improvement of correctional facilities), and job skills programs, educational programs, a pre-release prisoner assessment to provide risk-reduction management, post-release assistance, and an assessment of recidivism rates.

Discussion: The parties developing the comprehensive plan should include a broad mix of interested and involved organizations and officials from varying perspectives. Every effort should be made by the State to include the relevant State agencies responsible for corrections, probation, and parole, as well as mayors, city and county officials, police departments, sheriffs, judges, prosecutors, community corrections administrators, representatives from the treatment and education communities and indigent defense, concerned citizens, and victims' advocates, as well as the juvenile justice system. The manner in which criminal and juvenile justice functions are structured in various States and their relationships with other justice agencies will affect the roles played in the development of an effective corrections plan.

By statute, the comprehensive correctional plan must address how the State has involved local jurisdictions and the plan for sharing funds with local facilities, truth in sentencing and victims' rights issues, and the continuum of correctional options required for adult and juvenile offenders. It must meet the overall goal of incarcerating violent offenders and must convey the options for nonviolent offenders that will free up traditional bed space to accomplish that goal.

Involvement of Local Government

Assurances that the State has involved counties and other units of local government, when appropriate, in the construction, development or expansion of correctional facilities designed to ensure the incarceration of violent offenders and that the State will share funds received with counties and other units of local government, taking into account the burden placed on these units of government when they are required to confine sentenced prisoners because of overcrowding in State prison facilities.

Discussion: By definition, a comprehensive system involves State and local governments; thus, the development of the comprehensive plan discussed above necessitates a partnership and collaboration among State and local entities. Because the flow of offenders begins at the local level, both local and State governments play key roles in the punishment of offenders through alternative sanctions and incarceration in correctional facilities. The input of criminal and juvenile justice officials at the county and municipal levels will be considered essential to creating an effective overall State strategy to meet the goals of this grant program. Both local and State governments also have a strong interest in any change in the capacity of any component of the corrections system.

The statute is clear in its intent that States are expected to share funds with local units of government in support of effective implementation of the comprehensive plan discussed above. Local units of government, i.e., any city, county, town, township, borough, parish, village, or other general purpose subdivision of a State or Indian tribe which performs law enforcement functions as determined by the Secretary of the Interior, are eligible to receive subgrants from a participating State(s). Such subgrants shall be made for the purpose(s) of carrying out the implementation strategy, consistent with the State(s)' comprehensive corrections plan.

Veteran Status of Inmates

Assurance that the State has implemented, or will implement by March 13, 1996, policies to determine the veteran status of inmates and to ensure that incarcerated veterans receive the veterans' benefits to which they are entitled.

Multistate Compacts

If applicable, documentation of the multistate compact that specifies the construction, development, expansion, modification, operation, or improvement of correctional facilities.

APPENDIX B

Technical Assistance

Program Development Workshop

Potential applicants for fiscal year 1995 Corrections Boot Camp Initiative funds are invited to attend a 2 1/2-day workshop sponsored by the Office of Justice Programs. OJP will provide travel and per diem for four stakeholders from each potential applicant's jurisdiction to attend a program development workshop in Atlanta, Georgia scheduled for April 1-3, 1995.

Letters have been sent to the Governors requesting them to nominate the following individuals to attend: (1) the person who has responsibility for developing the State's comprehensive corrections plan (as required by the general assurances); (2) the State Director of Corrections or a key stakeholder with responsibility for planning, developing, or operating a boot camp for which funding may be requested; (3) the Director of Juvenile Corrections or a key stakeholder with responsibility for planning, developing, or operating a juvenile boot camp for which funding may be requested; and (4) a representative from the State Association of Counties or other similar organization representing the criminal justice interests of the counties and other units of local government. Potential applicants may send two additional stakeholders to the workshop at their own expense.

The workshop will focus on the following areas:

- assisting the applicant in understanding the requirements of the boot camp program and facilitating the application process;
- maximizing the commitment and participation of key stakeholders in the applicant's proposed boot camp program;
- designing and developing selection criteria for the boot camp target group, as well as programs and service delivery mechanisms that will support the effective operation of the boot camp;
- understanding the research findings regarding what research has taught us to date about **"what works"** with boot camp programs;
- developing a plan-of-action for complying with the program's general assurance requirements, **particularly the development of a comprehensive corrections plan**; and

- providing explanation on the overall corrections facilities program, including truth in sentencing issues in fiscal year 1996 and beyond.

Grant Recipient Technical Assistance

Grant recipients of fiscal year 1995 Corrections Boot Camp Initiative funds will be eligible to receive onsite technical assistance. Specifically, the technical assistance program is aimed at: (1) supporting recipients in gathering, analyzing, and using data and information needed for sound program and facility design, construction, operation, monitoring, and evaluation of boot camps; (2) assisting recipients in developing their boot camp program and facility plans; (3) facilitating the support and participation of key stakeholders in the planning and implementation of innovative boot camp programs; and (4) designing an effective monitoring and evaluation plan.

General Assurance Technical Assistance

In addition, States, **whether or not recipients of fiscal year 1995 boot camp awards**, may request technical assistance to meet the general assurances required for fiscal year 1996 funding and beyond.

APPENDIX C

Research Findings on the Effectiveness of Boot Camps

The evaluative research on correctional boot camps to date has been limited. Most relevant research has been primarily descriptive in nature and has focused on adult boot camps (Parent, 1989; MacKenzie, 1990; Austin and Bolyard, 1993; Cronin, 1993; Gransky, Castellano and Cowles, 1995). These studies have highlighted the sometimes contradictory goals of boot camp programs and the limited treatment and aftercare services associated with many boot camps. Nonetheless, most observers have also commented on the positive features of boot camps, including movement toward the inclusion of stronger treatment components in newer program designs and the generally safe and orderly program environments found within boot camps.

Some evaluations have examined the impact of boot camps on offender adjustments while institutionalized (MacKenzie and Shaw, 1990; MacKenzie and Souryal, 1992). In general, these and other related studies indicate that boot camps seem to result in more positive adjustments of inmates to institutionalization than do traditional prisons. MacKenzie's multisite evaluation of eight adult boot camps found that, across all sites, inmates who went through the boot camp programs developed more positive attitudes toward their prison experience over time and displayed more prosocial attitudes than did comparison samples of inmates incarcerated in conventional prisons (MacKenzie and Souryal, 1994).

A number of studies have examined the impact of boot camps on prison populations and correctional costs (MacKenzie and Piquero, 1994; Parent, 1994). They suggest that cost savings are realized and the prison demand for bed space is reduced only if certain conditions are met (i.e., low in-program failure rates, facilities operating near or at capacity, fairly large boot camp programs relative to total prison populations, and programs that truly divert offenders from State imprisonment). Unfortunately, these conditions are not commonly found among jurisdictions that operate boot camps.

The area of greatest concern has been the effectiveness of boot camps in reducing offender recidivism. MacKenzie's NIJ-sponsored multisite evaluation of eight correctional boot camps has been the most extensive research in this area. This multifaceted study of eight State-level adult boot camps generally found that participation in boot camps does not appear to be reduce offender recidivism rates.

It was found that the boot camp experience did not result in a reduction in recidivism in five States. In three States, boot camp graduates had lower recidivism rates than comparable inmates who served longer prison terms in conventional prisons on at least one measure of recidivism. The three State boot camp programs that appear somewhat successful in positively impacting

offender recidivism rates had some common characteristics. First, intensive aftercare programs for boot camp graduates is a program component in all three States, while prison releasees were generally not intensively supervised upon release from prison. Second, the institutional phase of these programs tended to be longer, contain a stronger rehabilitative focus, and generate higher in-program drop-out rates than the other boot camp programs examined. Other apparently unsuccessful programs also shared some of these characteristics, so it is unclear how these program characteristics influence failure rates. The analyses could not disentangle the effects of particular program features (e.g., intensive supervision), although the authors do suggest that it is quite unlikely that the military boot camp atmosphere alone had much impact on program participants (MacKenzie and Souryal, 1994).

Thus, at this point there is only mixed evidence on what works -- or what does not work -- in various boot camp models. However, the research does indicate that particular correctional goals are more likely to be achieved if boot camps exhibit certain program components and features. Beyond those suggested above, it is important that jurisdictions experiment with innovative program designs and that these programs be evaluated so that knowledge levels on "what works" in this area can be enhanced.⁸

⁸Appendix E contains a list of relevant correctional boot camp research references. Many of these documents can be obtained by requesting the Boot Camp Resource Package from the National Criminal Justice Reference Service at 1-800-851-3420 .

APPENDIX D

Program Evaluation

A portion of the overall funds authorized under this program initiative have been set aside for the National Institute of Justice (NIJ) to implement a national evaluation strategy. This national evaluation strategy will require the active participation of program grantees in a Federally supported evaluation of their program once they become operational. Applicants are encouraged to include in their application a Statement describing proposed program activities that could be evaluated, the amenability of local staff to engage in collaborative efforts with a national evaluation team throughout the program planning and implementation process in a problem-solving manner, and the capacity of the program to generate data requisite for a rigorous outcome evaluation.

Applicants that participate in the national evaluation strategy may receive additional funding and/or technical assistance from NIJ, either as participants in a national evaluation or to assist with design and implementation of local evaluations. Specifically, funding priority will be given to applicants that:

- A. Plan an impact evaluation from the start to assess whether the goals of the boot camp are eventually achieved (e.g., reduced offender recidivism, reduced correctional system costs). It is recommended that this be done by entering into a partnership with a specific independent research organization (such as a local university). The applicant / research organization partnership can then apply to the National Institute of Justice for evaluation funds. NIJ will fund worthy applications, as well as conduct a national competition to select evaluators to carry out national evaluations.
- B. Detail the existence or planned implementation of an automated data collection system that will allow for the compilation of data needed to assess the impact of the program. Specific data elements contained in this system (and detail on the offenders for whom the data apply) should be specified. An attempt should be made to ensure that the data system is integrated across the criminal justice agencies that may be involved in placing offenders into the program (e.g., courts) and supervising them upon release (e.g., probation and/or parole). Preference will also be given to those applicants willing to incorporate research instruments into their routine data collection systems.
- C. Display a willingness and capability (e.g., a sufficient flow of potential offenders into the program) to randomly assign eligible program participants to the boot camp. While a randomized experimental design is strongly preferred, positive consideration will also be given to well-controlled quasi-experimental designs or equivalent comparison group designs.

In order to demonstrate compliance with the goals of the 1994 Violent Offender Incarceration Grant Program, each applicant must also exhibit an on-going capability to conduct local program assessments. This is best accomplished if the jurisdiction (1) supports the development and maintenance of an automated data collection system and (2) conducts ongoing analyses of the data to assess whether program operations and implementation outcome are consistent with the original program design and goal structure.

Accordingly, the application should detail the specific nature of the local data collection system and specify how that system can be used to generate baseline and program data that can be used to document program implementation processes and results. These internal program assessments should chronicle not just the history of program development and implementation; but also the specific elements comprising the program, the numbers and types of offenders who are screened, enter, and exit the program, the services rendered to program participants while in the program, and descriptions of termination outcomes when participants complete the program.

APPENDIX E

References

Austin, J., M. Jones, and D. Bolyard. *The Growing Use of Jail Boot Camps: The Current State of the Art*. Research Brief. Washington, DC: National Institute of Justice, U.S. Department of Justice, October 1993.

Criminal Justice Associates. *Correctional Boot Camps and Reintegration Programs: A Report on Issues and Options*. Washington, DC: Bureau of Justice Assistance, 1994. (Produced under grant No. 93-DD-CX-K006.)

Cronin, R. *Boot Camps for Adult and Juvenile Offenders: Overview and Update*. Washington, DC: National Institute of Justice, U.S. Department of Justice, 1994.

Gransky, L.P., T.C. Castellano, and E.G. Cowles. "Is There a 'Second Generation' of Shock Incarceration Facilities?: The Evolving Nature of Goals, Program Elements, and Drug Treatment Services in Boot Camp Programs." In *Intermediate Sanctions: Sentencing in the 1990s*, J. Smykla and W. Selke (eds.), Cincinnati, OH; Anderson Publishing Company, 1995: 89-112.

MacKenzie, D.L. "'Boot Camp' Programs Grow in Number and Scope." *NIJ Reports*. (November/December 1990): 6-8.

_____. "Boot Camp Prisons: Components, Evaluations, and Empirical Issues." *Federal Probation* (September 1990): 44-52.

_____. "The Parole Performance of Offenders Released from Shock Incarceration (Boot Camp Prisons): A Survival Time Analysis." *Journal of Quantitative Criminology* 7(3) (1991): 213-236.

MacKenzie, D.L. and A. Piquero. "The Impact of Shock Incarceration on Prison Crowding." *Crime and Delinquency* 40(2) (1994): 222-249.

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MacKenzie, D.L., J.W. Shaw, and V.B. Gowdy. *An Evaluation of Shock Incarceration in Louisiana*. Washington, DC: National Institute of Justice, U.S. Department of Justice, 1994.

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Parent, D.G. "Boot Camps Failing to Achieve Goals." *Overcrowded Times* 5(4) (1994): 8-11.

Shaw, J.W. and D.L. MacKenzie. "Shock Incarceration and Its Impact on the Lives of Problem Drinkers." *American Journal of Criminal Justice* 16(1) (1991): 63-96.

Shaw, J.W. and D.L. MacKenzie. "The One-Year Community Supervision Performance of Drug Offenders and Louisiana DOC-Identified Substance Abusers Graduation From Shock Incarceration." *Journal of Criminal Justice* 20(6) (1992): 501-516.

APPENDIX F

Directory of Contacts for State, Adult Boot Camps

Alabama	Stephen Kiser Department of Corrections Community Work Center P.O. Box 368 Childersburg, AL 35044 (205) 378-5964	Idaho	Dean E. Allen Department of Corrections Star Route #3 Cottonwood, ID 83522 (208) 962-3276	Michigan	Ron Shull Special Alternative Incarceration 18901 Waterloo Road Chelsea, MI 48118 (313) 475-1368
Alaska	Colonel John Fleming National Guard Youth Corps Challenge Program P.O. Box 5727 Ft. Richardson, AK 99505 (907) 384-6017	Illinois	Robert Jones Department of Corrections 1301 Concordia Court P.O. Box 19277 Springfield, IL 62794 (217) 522-2666 Ext. 6551	Mississippi	Bob Rowe Department of Corrections Regimented Inmate Discipline P.O. Box 847 Parchman, MS 38738 (601) 745-6611
Arizona	Charles Flanagan Assistant Deputy Warden Department of Corrections ASPC-F East Unit Shock Incarceration P.O. Box 629 Florence, AZ 85232 (602) 868-4011	Indiana	Pam Pattison Summit Boot Camp P.O. Box 156 LaPorte, IN 46350 (317) 232-5780	Minnesota	Doug Appelgren Challenge Incarceration Program MCF/Willow River - Moose Lake 8598 County Highway 61 Willow River, MN 55795 (218) 372-3101
Arkansas	Tommy Rochelle Administrator Department of Corrections Boot Camp P. O. Box 1010 Wrightsville, AR 72183 (501) 897-5806	Kansas	Robert Sanders Department of Corrections Landon State Office Building 900 SW Jackson Topeka, KS 66612 (913) 296-3317	Missouri	Steve Long Regimented Discipline Program P.O. Box 236 Jefferson City, MO 65102 (314) 751-2389
California	Elliot Stevenson Youth and Adult Correctional Agency 1100 - 11th Street Suite 400 Sacramento, CA 95814 (916) 323-5565	Kentucky	Rodney Lawrence Roederer Correctional Complex P.O. Box 69 LaGrange, KY 40031 (502) 222-0173 Ext. 447	Montana	Dan Maloughney Superintendent Swan River Correctional Training Center P.O. Box 99 Swan Lake, MT 59911 (406) 754-2292
Colorado	Major Mike Perry Department of Corrections P.O. Box 2017 Buena Vista, CO 81211 (719) 395-2404	Louisiana	Mariana Leger Deputy Warden Impact Program Elayn Hunt Correctional Center P.O. Box 174 St. Gabriel, LA 70776 (504) 642-3306	Nebraska	Larry Tewes Department of Corrections P.O. Box 94661 Lincoln, NE 68509-4661 (402) 471-2654
Florida	Gwen Thomas Youthful Offender Office 2601 Blairstone Road Tallahassee, FL 32399 (904) 488-1140	Maryland	Commander Robert McWhorter Division of Corrections P.O. Box 1425 Jessup, MD 20794 (410) 799-4233	Nevada	Lt. Pete Seagriff Department of Prisons P.O. Box 208 Indian Springs, NV 89070 (702) 879-3046
Georgia	Debra Etheridge Department of Corrections 2 Martin Luther King Drive Suite 670 East Tower Atlanta, GA 30334 (404) 651-6897	Massachusetts	Mary Ellen Mastorilli Administrator Massachusetts Boot Camp #2 Administration Road Bridgewater, MA 02324 (617) 727-1507		

New Hampshire	John Sanfilippo Lakes Region Facility Shock Incarceration 1 Right Way Path Laconia, NH 03246 (603) 528-9203	Oklahoma	Jay Custis William Key Correctional Center William S. Key Boulevard Fort Supply, OK 73841 (405) 766-2224	Texas	Debbie Lyles Department of Corrections P.O. Box 99 Huntsville, TX 77340 (409) 294-6503
New York	Cheryl Clark Department of Correctional Services Harriman State Office Campus, Building 2 Albany, NY 12226 (518) 457-8144	Pennsylvania	John Wertz Quehannna Boot Camp H.C. Box 32 Karthaus, PA 16845 (814) 765-0644	Virginia	Andrew Molloy Department of Corrections P.O. Box 26963 Richmond, VA 23261 (804) 674-3000
North Carolina	Colonel John Taylor Department of Corrections IMPACT Youth Center P.O. Box 211 Hoffman, NC 28347 (910) 281-5156	South Carolina	Sammie Brown Department of Corrections P.O. Box 21787 Columbia, SC 29221 (803) 896-8551	Wisconsin	Peter Stacy Saint Croix Correctional Center P.O. Box 36 New Richmond, WI 54017 (715) 246-6971
Ohio	Major Jeffrey Wolf Department of Rehabilitation and Corrections Camp REAMS 5900 B.I.S. Road Lancaster, OH 43130 (614) 653-4324	Tennessee	James M. Davis Wayne County Boot Camp P.O. Box 182 Clinton, TN 37716 (615) 676-3345	Wyoming	Sergeant Dean Emert Wyoming Boot Camp 40 Pippin Road Newcastle, WY 82701 (307) 746-4436

Appendix G

Sample Application Form

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED June 1, 1995		Applicant Identifier US00000	
1. TYPE OF SUBMISSION: <div>Application</div> <div><input checked="" type="checkbox"/> Construction</div> <div><input type="checkbox"/> Non-Construction</div> <div>Preapplication</div> <div><input type="checkbox"/> Construction</div> <div><input type="checkbox"/> Non-Construction</div>		3. DATE RECEIVED BY STATE		State Application Identifier	
		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION					
Legal Name: Any State, U.S.A.			Organizational Unit: Department of Corrections		
Address (give city, county, state, and zip code): Any State 1234 Main Street Any Town, U.S.A. 12345			Name and telephone number of the person to be contacted on matters involving this application (give area code) Chief Joe Jones (123) 555-0000 Fax: (123) 555-0001		
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 1 2 - 3 4 5 6 7 8 9			7. TYPE OF APPLICANT: (enter appropriate letter in box) <input checked="" type="checkbox"/> A A. State H. Independent School Dist. B. County I. State Controlled Institution of Higher Learning C. Municipal J. Private University D. Township K. Indian Tribe E. Interstate L. Individual F. Intermunicipal M. Profit Organization G. Special District N. Other (Specify) _____		
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____			9. NAME OF FEDERAL AGENCY: Office of Justice Programs U.S. Department of Justice		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 1 6 . 5 8 6 TITLE: Corrections Boot Camp Initiative			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: "Constructing a Boot Camp for Non-Violent Offenders"		
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.): Statewide					
13. PROPOSED PROJECT: Start Date Ending Date 8-1-95 2-28-97		14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project U.S. 1st District "S. 1st District			
15. ESTIMATED FUNDING: a. Federal \$ 750,000 .00 b. Applicant \$ 250,000 .00 c. State \$.00 d. Local \$.00 e. Other \$.00 f. Program Income \$.00 g. TOTAL \$ 1,000,000 .00		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input checked="" type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED					
a. Typed Name of Authorized Representative Sam Smith		b. Title Director, Dept. of Corrections		c. Telephone number (123) 555-6666	
d. Signature of Authorized Representative Sam Smith				e. Date Signed June 1, 1995	

Appendix H

Standard Application Form and Instructions

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:	Preapplication
<input type="checkbox"/> Construction	<input type="checkbox"/> Construction
<input type="checkbox"/> Non-Construction	<input type="checkbox"/> Non-Construction

5. APPLICANT INFORMATION

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

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

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8. TYPE OF APPLICATION:
☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐
A. Increase Award B. Decrease Award C. Increase Duration
D. Decrease Duration Other (specify): _____

7. TYPE OF APPLICANT: (enter appropriate letter in box) ☐

A. State	H. Independent School Dist.
B. County	I. State Controlled Institution of Higher Learning
C. Municipal	J. Private University
D. Township	K. Indian Tribe
E. Interstate	L. Individual
F. Intermunicipal	M. Profit Organization
G. Special District	N. Other (Specify): _____

9. NAME OF FEDERAL AGENCY:
Office of Justice Programs
U.S. Department of Justice

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:

1	6	5	8	6
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TITLE: Corrections Boot Camp Initiative

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):

13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:

a. Federal	\$.00
b. Applicant	\$.00
c. State	\$.00
d. Local	\$.00
e. Other	\$.00
f. Program Income	\$.00
g. TOTAL	\$.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON
DATE _____
b. NO ☐ PROGRAM IS NOT COVERED BY E.O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
☐ Yes If "Yes," attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

INSTRUCTIONS FOR THE SF 424

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

- | Item: | Entry: | Item: | Entry: |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> 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		\$	\$	\$	\$	\$

NON-CONSTRUCTION

SECTION B — BUDGET CATEGORIES

PLANNING/DEVELOPMENT

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.

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.

Budget Information—Construction Programs

OMB Approval No. 0348-0041

Note: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case you will be notified.

Cost Classification	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Column a-b)
1. Administrative and legal expenses	\$.00	\$.00	\$.00
2. Land, structures, rights-of-way, appraisals, etc.	\$.00	\$.00	\$.00
3. Relocation expenses and payments	\$.00	\$.00	\$.00
4. Architectural and engineering fees	\$.00	\$.00	\$.00
5. Other architectural and engineering fees	\$.00	\$.00	\$.00
6. Project inspection fees	\$.00	\$.00	\$.00
7. Site work	\$.00	\$.00	\$.00
8. Demolition and removal	\$.00	\$.00	\$.00
9. Construction	\$.00	\$.00	\$.00
10. Equipment	\$.00	\$.00	\$.00
11. Miscellaneous	\$.00	\$.00	\$.00
12. Subtotal (sum of lines 1-11)	\$.00	\$.00	\$.00
13. Contingencies (sum of lines 1-11)	\$.00	\$.00	\$.00
14. Subtotal	\$.00	\$.00	\$.00
15. Project (program) income	\$.00	\$.00	\$.00
16. Total Project Costs (subtract #15 from #14)	\$.00	\$.00	\$.00

Federal Funding

17. Federal assistance requested, calculate as follows: Enter eligible costs from line 16c Multiply x 75 %
 (Consult Federal agency for Federal percentage share).
 Enter the resulting Federal share.

\$.00

Instructions for HUD-424C

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions please contact the Federal agency.

Column a.—If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "Cost Classifications."

If this application entails a change to an existing award, enter the eligible amounts approved under the previous award for the items under "Cost Classification."

Column b.—If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is not allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

Column c.—This is the net of lines 1 through 16 in columns "a." and "b."

Line 1—Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchase of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2—Enter estimated site and ~~right(s)~~-of-way acquisition costs (this includes purchase, lease, ~~and/or~~ easements).

Line 3—Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4—Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5—Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6—Enter estimated engineering inspection costs.

Line 7—Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9—Enter estimated cost of the construction contract.

Line 10—Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11—Enter estimated miscellaneous costs.

Line 12—Total of items 1 through 11.

Line 13—Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14—Enter the total of lines 12 and 13.

Line 15—Enter estimated ~~program~~ income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16—Subtract line 15 from line 14.

Item 17—This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

Appendix I

Assurances Required of all Federal Grant Recipients

ASSURANCES

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

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

Signature

Date

ASSURANCES -- CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 93-255), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to the confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements on any other non-discrimination Statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a and 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
19. Will comply with all applicable requirements of all other Federal laws, Executive Orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Appendix J

**Certifications Regarding Lobbying; Debarment, Suspension,
and Other Responsibility Matters;**

Drug-Free Workplace Requirements;

Coordination and Non-Supplanting Requirements



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

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

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

1. LOBBYING

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

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

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

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

A. The applicant certifies that it and its principals:

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

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

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

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

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

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

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

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

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

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

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

DISCLOSURE OF LOBBYING ACTIVITIES

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

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

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

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.

APPENDIX K

Intergovernmental Review Process

Executive Order 12372 requires applicants from state and local units of government or other organizations providing service 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. You must contact your State SPOC to find out if this program has been selected for review by your State.

The Catalog of Federal Domestic Assistance reference for this program is number 16.586.

A current list of State SPOC's is set forth below.*

ARIZONA

Janice Dunn
Arizona State Clearinghouse
Fourteenth Floor
3800 N. Central Avenue
Phoenix, Arizona 85012

Telephone: (602) 280-1315
FAX: (602) 280-1305

ARKANSAS

Mr. Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and
Administration
Room 412
1515 W. 7th St.
Little Rock, Arkansas 72203

Telephone: (501) 682-1074
FAX: (501) 682-5206

CALIFORNIA

Bette North
Office of Criminal Justice Planning
Suite 300
1130 K Street
Sacramento, California 95814

Telephone: (916) 324-9154
FAX: (916) 324-9167

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
Dover, Delaware 19903

Telephone: (302) 739-3326
FAX: (302) 739-5661

DISTRICT OF COLUMBIA

Charles Nichols
State Single Point of Contact
Office of Grants Mgmt. & Dev.
Suite 500
717 14th Street, N.W.
Washington, DC 20005

Telephone: (202) 727-6551
FAX: (202) 727-1617

FLORIDA

Suzanne Traub-Metlay
Florida State Clearinghouse
Intergovernmental Affairs Policy
Unit
Executive Office of the Governor
Room 1603
The Capitol
Tallahassee, Florida 32399-0001

Telephone: (904) 488-8114
FAX: (904) 488-9005

GEORGIA

Charles H. Badger
Administrator
Georgia State Clearinghouse
Room 401J
254 Washington Street, S.W.
Atlanta, Georgia 30334

Telephone: (404) 656-3855 or
(404) 656-3829
FAX: (404) 656-7938

ILLINOIS

Steve Klockenga
State Single Point of Contact
Office of the Governor
107 Stratton Building
Springfield, Illinois 62706

Telephone: (217) 782-1671
FAX: (217) 782-6620

INDIANA

Frances E. Williams
State Budget Agency
212 State House
Indianapolis, Indiana 46204

Telephone: (317) 232-2972
FAX: (317) 233-3323

* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The Office of Management and Budget point of contact for updating this listing is: Donna Rivelli (202) 395-5090. The States not listed no longer participate in the process. These include: Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, and Washington. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Assistance.

IOWA

Steven R. McCann
Division for Community Assistance
Iowa Department of Economic
Development
200 East Grant Avenue
Des Moines, Iowa 50309

Telephone: (515) 242-4719
FAX: (515) 242-4859

KENTUCKY

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, Kentucky 40601-8204

Telephone: (502) 573-2382
FAX: (502) 583-2512

MAINE

Joyce Benson
State Planning Office
State House Station #38
Augusta, Maine 04333

Telephone: (207) 287-3261
FAX: (207) 287-6489

MARYLAND

Roland E. English III
Chief, State Clearinghouse for
Intergovernmental Assistance
Maryland Office of Planning
Room 1104
301 W. Preston Street
Baltimore, Maryland 21201-2365

Telephone: (410) 225-4490
FAX: (410) 225-4480

MASSACHUSETTS

Karen Arone
State Clearinghouse
Executive Office of Communities
and Development
Room 1803
100 Cambridge Street
Boston, Massachusetts 02202

Telephone: (617) 727-7001
ext. 443
FAX: (617) 727-4259

MICHIGAN

Richard S. Pastula
Director
Office of Federal Grants
Michigan Department of Commerce
P.O. Box 30225
Lansing, Michigan 48909

Telephone: (517) 373-7356
FAX: (517) 373-6683

MISSISSIPPI

Cathy Malette
Clearinghouse Officer
Office of Federal Grant Management
and Reporting
Department of Finance and
Administration
301 West Pearl Street
Jackson, Mississippi 39202

Telephone: (601) 949-2174
FAX: (601) 949-2125

MISSOURI

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 908
Room 760, Truman Building
Jefferson City, Missouri 65102

Telephone: (314) 751-4834
FAX: (314) 751-7819

NEVADA

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, Nevada 89710

Telephone: (702) 687-4065
FAX: (702) 687-3983

NEW HAMPSHIRE

Jeffrey H. Taylor
Director, New Hampshire Office of
State Planning
Attn: Intergovernmental Review
Process
James E. Bieber
2 1/2 Beacon Street
Concord, New Hampshire 03301

Telephone: (603) 271-2155
FAX: (603) 271-1728

NEW JERSEY

Gregory W. Adkins
Director
Division of Community Resources
New Jersey Department of
Community
Affairs

Please direct all correspondence and
questions about intergovernmental
review to:

Andrew J. Jaskolka
State Review Process
Division of Community Resources
Room 609
CN 814
Trenton, New Jersey 08625-0814

Telephone: (609) 292-9025
FAX: (609) 984-0386

NEW MEXICO

George Elliott
Deputy Director
State Budget Division
Room 190 Bataan Memorial Building
Santa Fe, New Mexico 87503

Telephone: (505) 827-3640

NEW YORK

New York State Clearinghouse
Division of the Budget
State Capitol
Albany, New York 12224

Telephone: (518) 474-1605

NORTH CAROLINA

Chrys Baggett, Director
N.C. State Clearinghouse
Office of the Secretary of Admin.
116 West Jones Street
Raleigh, North Carolina 27603-8003

Telephone: (919) 733-7232
FAX: (919) 733-9571

NORTH DAKOTA

North Dakota Single Point of Contact
Office of Intergovernmental
Assistance
600 East Boulevard Avenue
Bismarck, North Dakota 58505-0170

Telephone: (701) 224-2094
FAX: (701) 224-2308

OHIO

Larry Weaver
State Single Point of Contact
State Clearinghouse
Office of Budget and Management
34th Floor
30 East Broad Street
Columbus, Ohio 43266-0411

Please direct correspondence and
questions about intergovernmental
review to:

Linda Wise
Telephone: (614) 466-0698
FAX: (614) 466-5400

RHODE ISLAND

Daniel W. Varin
Associate Director
Department of Administration
Division of Planning
4th Floor
One Capitol Hill
Providence, Rhode Island
02908-5870

Please direct correspondence and
questions to:

Review Coordinator
Office of Strategic Planning
Telephone: (401) 277-2656
FAX: (401) 277-2083

SOUTH CAROLINA

Omeagia Burgess
State Single Point of Contact
Grant Services
Office of the Governor
Room 477
1205 Pendleton Street
Columbia, South Carolina 29201

Telephone: (803) 734-0494
FAX: (803) 734-0385

TENNESSEE

Charles Brown
State Single Point of Contact
State Planning Office
Suite 309
500 Charlotte Avenue
John Sevier Building
Nashville, Tennessee 37243-0001

Telephone: (615) 741-1676

TEXAS

Tom Adams
Director
Intergovernmental Coordination
P.O. Box 13005
Austin, Texas 78711

Telephone: (512) 463-1771
FAX: (512) 463-1984

UTAH

Carolyn Wright
Utah State Clearinghouse
Office of Planning and Budget
Room 116 State Capitol
Salt Lake City, Utah 84114

Telephone: (801) 538-1535
FAX: (801) 538-1547

VERMONT

Nancy McAvoy
State Single Point of Contact
Pavilion Office Building
109 State Street
Montpelier, Vermont 05609

Telephone: (802) 828-3326
FAX: (802) 828-3339

WEST VIRGINIA

Fred Cutlip
Director
Community Development Division
W. Virginia Development Office
Room 553
Building #6
Charleston, West Virginia 25305

Telephone: (304) 558-4010
FAX: (304) 558-3248

WISCONSIN

Martha Kerner
Section Chief, State/Federal Relations
Wisconsin Department of
Administration
6th Floor
101 East Wilson Street
P.O. Box 7868
Madison, Wisconsin 53707

Telephone: (608) 266-2125
FAX: (608) 267-6931

WYOMING

Sheryl Jeffries
State Single Point of Contact
4th Floor, East Wing
Herschler Building
Cheyenne, Wyoming 82002

Telephone: (307) 777-7574
FAX: (307) 638-8967

United States Territories**GUAM**

Giovanni T. Sgambelluri
Director
Bureau of Budget and Management &
Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910

Telephone: 011-671-472-
2285
FAX: 011-671-472-
2825

PUERTO RICO

Norma Burgos/Jose E. Caro
Chairwoman/Director
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan, Puerto Rico 00940-1119

Telephone: (809) 727-4444
(809) 723-6190
FAX: (809) 724-3270
(809) 724-3103

NORTHERN MARIANA ISLANDS

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

VIRGIN ISLANDS

Jose George
Director, Office of Management and
Budget
Second Floor
#41 Norregade Emancipation Garden
Station
Saint Thomas, Virgin Islands 00802

Please direct all questions and
correspondence about inter-
governmental review to:

Linda Clarke

Telephone: (809) 774-0750
FAX: (809) 776-0069

*U.S. G.P.O.:1995-387-167:00052

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Office of Justice Programs

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