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U.S. Department of Justice  
National Institute of Justice

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# National Institute of Justice

ACQUISITIONS

S o l i c i t a t i o n

Jeremy Travis, Director

April 1995

## Solicitation for an Impact Evaluation of Operation Weed and Seed

The National Institute of Justice (NIJ) is soliciting proposals for the conduct of an impact evaluation of eight Weed and Seed programs.

This document includes:

- Weed and Seed overview.
- Solicitation request.
- Application requirements.
- Application forms.

### Weed and Seed overview

The purpose of Operation Weed and Seed, a U. S. Department of Justice initiative launched in 1992, is to demonstrate an innovative, comprehensive, and integrated multiagency approach to law enforcement and community revitalization for preventing; controlling; and reducing violent crime, drug abuse, and gang activity in targeted high-crime neighborhoods across the country. Weed and Seed demonstration programs range in geographic size from several neighborhood blocks to 15 square miles. The Weed and Seed approach involves a two-pronged strategy. First, law enforcement agencies and prosecutors cooperate in "weeding out" criminals who participate in violent crime and drug abuse and attempt to prevent their return to the targeted area. Second, "seeding" brings to the area a broad array of human services encompassing prevention, intervention, treatment, and neighborhood revitalization. In addition, a community-oriented policing component may act as a bridge between weeding and seeding strategies, as officers obtain information from area residents that is helpful to weeding efforts while at the same time aiding residents in obtaining information about community revitalization and seeding resources.

Active participation by the local U.S. Attorney over each Weed and Seed site is considered vital for achieving the necessary coordination of Federal, State, and local law

enforcement agencies; making maximum use of Federal law in weeding strategies; and helping mobilize resources for seeding programs from a broad array of Federal agencies. Local U.S. Attorneys are expected to be at the center of planning and organizing Weed and Seed representative-steering committees and task forces.

The Operation Weed and Seed initiative is administered by the Executive Office of Weed and Seed (EOWS) and the Bureau of Justice Assistance (BJA). To date, 36 Weed and Seed sites have received funding from the Department of Justice.

### Pertinent evaluations of Weed and Seed

Several studies of Weed and Seed are currently being conducted. However, two studies are most pertinent to this solicitation for impact evaluation proposals.

The first study was awarded by NIJ, in September 1992, to the Institute for Social Analysis (ISA). ISA collaborated with the Police Foundation and the American Prosecutors Research Institute in conducting a process evaluation of the first 19 BJA-supported Weed and Seed demonstration sites.

The 18-month national evaluation "process study" was designed to document and analyze program activities, from the initial stage of organizing a steering committee through planning, development, and implementation of Weed and Seed strategies. The study describes the unique characteristics of the approaches taken by demonstration sites and compares these approaches as variants of a model. Finally, the study analyzes the costs and value of Weed and Seed projects and their elements.

Evaluation information was gathered via site visits involving interviews with key staff, task force members, and community representatives; observations of the target areas; and the collection and compilation of documents and materials ob-

tained from each site, BJA, and EOWS. Because the national evaluation received funding after the Weed and Seed sites were actually implemented, some site information was collected historically.

The second study also was awarded by NIJ, in September 1994, to ISA. ISA is collaborating with the Police Foundation to collect baseline/process data for eight sites (and eight comparison sites) that will participate in the impact evaluation that results from this solicitation. Two of these sites participated in the process evaluation mentioned above. As a condition of this award, ISA has agreed to turn over all pertinent baseline information to the winner of this competition.

Selection of the eight study sites was influenced by another program called the National Performance Review Laboratory (NPRL). The National Performance Review Laboratory was created as part of Vice President Gore's Reinventing Government initiative. The Weed and Seed NPRL is one of several NPRL labs being conducted in the U.S. Department of Justice. NPRL will build on Weed and Seed efforts by enhancing Federal support for comprehensive community strategies through the collaboration of the U.S. Departments of Justice, Housing and Urban Development, Labor, Agriculture, Health and Human Services, and the Small Business Administration. Through the NPRL, a coordinated and expedited process for obtaining Federal funds will be developed.

An organization will provide training and technical assistance to NPRL sites in implementing the following NPRL objectives:

- Identify obstacles and possible solutions that local communities encounter in using Federal resources to design and implement integrated neighborhood-based comprehensive strategies with a variety of component support programs.
- Assist neighborhoods to map the flow of Federal resources into the community; design, fund, and evaluate the programs they select to implement; refine and enhance their Weed and Seed strategy by emphasizing community policing and social service delivery.
- Provide guidance on the use of Federal funds through a Federal Resource Assistance Center. Assist sites to leverage State, local, and private resources. Design and implement flexible Federal funding approaches that use multiagency reviews of community strategies and single applications for multiple Federal resources combined in a single award. Assist an Empowerment Board in simplifying the use of Federal funds by local communities.

- Design and implement an evaluation of the project results obtained by the communities.

A number of Weed and Seed sites were given NPRL funds, as well as Weed and Seed funds, as identified below. A comparison between NPRL and non-NPRL funded sites is required as part of this impact evaluation.

Sites were selected for study based on the following distribution:

- Two existing Weed and Seed sites with continuation funding (one NPRL funded and one non-NPRL funded).
- Four newly funded Weed and Seed sites (two NPRL funded and two non-NPRL funded).
- Two officially recognized but not funded sites (one NPRL funded and one non-NPRL funded).

The eight selected sites are in Hartford, Connecticut; Manatee/Sarasota, Florida; Shreveport, Louisiana; Las Vegas, Nevada; Akron, Ohio; Pittsburgh, Pennsylvania; Salt Lake City, Utah; and Seattle, Washington. A quasi-experimental design comparing Weed and Seed sites to matched comparison neighborhoods within the same jurisdiction is planned. ISA is currently identifying and selecting these eight comparison sites and will turn this information over to the winner of this competition.

### Solicitation request

This solicitation requests proposals to design and implement a study that will support NIJ's objectives of determining and documenting strategies that are successful in preventing; controlling; and reducing violent crime, drug abuse, and gang activity in targeted high-crime neighborhoods.

It is our intent to measure the impact of the Weed and Seed strategy at eight sites (utilizing an additional eight comparison sites in the evaluation design). Specifically, the following objectives should be addressed by this evaluation:

- Determine the extent to which the Weed and Seed strategy has been implemented as intended (e.g., the extent of citizen involvement in anti-crime/anti-drug community events).
- Document the extent to which services have increased or improved under the elements of the strategy (e.g., law enforcement, prosecution, community policing, prevention, intervention and treatment, and neighborhood restoration).
- Assess whether the Weed and Seed strategy changes/reduces drug-related and violent crime in the target neighborhood (including consideration of whether any reductions could be attributable to a general reduction in crime outside the site).

- Assess whether crime appears to have been displaced to adjacent neighborhoods.
- Assess the extent to which economic development, including increased employment opportunities, has been implemented.
- Assess changes in the quality of life of target neighborhoods, including the increased provision of needed community services, education, and social improvements, as well as perceptions of safety among residents and businesses.
- Determine whether the Weed and Seed strategy encourages the various cooperating agencies to work together on projects outside of Weed and Seed.

A primary goal of Weed and Seed is to eliminate violent crime, drug trafficking, and drug-related crime in order to provide a safe environment, free of crime and drug use. Therefore, this evaluation should also assess, to the extent possible at each site, the impact of Weed and Seed on public safety by examining the extent to which offenders have been removed (weeded) from the target areas. The focus would be on:

- The extent to which offenders are prosecuted for their offenses.
- The types/characteristics of sentences imposed (e.g., severity).
- The portion of those sentences actually served.
- The conditions under which offenders are allowed to return to the community (e.g., under intensive supervision/parole).

Analyses involving the court handling of offenders should distinguish between adults and juveniles. This portion of the study would require the collection of data across many components of the criminal justice system such as prosecution, probation/parole, diversion programs, jails, and police. Difficulties can be anticipated in accounting for some cases (e.g., cases that were dropped by the prosecution or cases where the defendant was released on personal recognizance and did not show up for court).

Finally, comparisons across Weed and Seed programs should include a discussion of the strengths, limitations, and issues regarding NPRL-funded sites versus non-NPRL funded sites.

Proposals should use a variety of measures to ensure that all aspects of the Weed and Seed program are covered. Deliverables include, but are not limited to, written quarterly progress reports and a final report.

## Attachments

A description of the Application Requirements appears as Appendix A of this document. Standard Form SF-424, the application form is included in Appendix B.

## Appendix A

### Application requirements

Cooperative research efforts involving criminal justice organizations or private foundations, especially where matching funds are available, are encouraged.

### Eligibility criteria

NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the separate solicitations.

### How to apply

The following procedures are required for all applications. Submissions must include:

### Standard Form 424

See Appendix B for a copy of Standard Form SF-424, Application for Federal Assistance, plus instructions. Please follow the instructions carefully and include all parts and pages.

### Certifications

In addition to SF-424, recent requirements involve certification regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; (3) drug-free workplace requirements; and (4) privacy. A certification form is attached to SF-424. This form should be signed by the appropriate official and included in the grant application.

### Budget narrative

The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed.

## One-page abstract

The abstract of the full proposal should highlight the project's purpose, methods, activities, and when known, the location(s) of field research. Abstracts should not exceed one page.

## Program narrative

The program narrative is the technical portion of the proposal. It should consist of:

- A clear, concise statement of the problem, goals and objectives of the project, and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- A detailed statement of the proposed research or study design and analytical methodologies. The proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- A description of the organizational capability of the potential grantee.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion indicating the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.

The author(s) of the proposal should be clearly identified.

## Expected products

Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victims services providers; and Federal, State, county, and local elected officials. Applicants must concisely describe the interim and final products under each objective of the program strategy and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how

the constituent group or agency officials would be expected to use the product or report.

Products may include:

- Case studies showing how problems arise, how they are handled, and what the consequences are of specific decisions made at various levels in the criminal justice system. Case studies may also describe some of the side effects or unintended consequences of particular programs. Each case study should be 7,500 to 10,000 words long and written in a style that will be accessible to policy officials and practitioners. The information should be suitable for possible publication by the National Institute of Justice.
- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the *NIJ Data Resources Manual*.

Additional interim and final products such as articles, manuals, or training materials may be specified in the proposal or negotiated at the time of the award, as appropriate.

Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

## Copies of curriculum vitae

The applicant's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.

## Coordination

Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding.

## Page limit

No page limits are enforced. However, authors of proposals are encouraged to keep program narratives to a reasonable

length. Technical materials that support or supplement the description of the proposed research should be relegated to an appendix.

## Legibility

Proposals that are miscolated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed.

## Selection criteria

After all applications for a competition are received, NIJ will convene a peer review panel of criminal justice professionals and researchers.

Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Their assessment of each submission is forwarded to the Director of the Institute. Panel assessments of the proposals, together with the Program Manager's assessment, are submitted for consideration by the Director, who has sole and final authority over approval and awards.

The review normally takes 6 to 10 weeks, depending on the number of applications received. The review process for this solicitation will be accelerated. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

## Review criteria

The essential question asked of each applicant is, "If this study were successful, how would criminal justice policies or operations be improved?"

Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.
- Economy of the approach.

Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants' awareness of related research or studies and their ability to direct the

research or study toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant's awareness of factors that might dilute the credibility of the findings.

Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant's understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

Applicants' qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the proposed research or study. Costs are evaluated in terms of the reasonableness of each item and the utility of the project to the Institute's program.

## Requirements for award recipients

### Expected products

Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victims services providers; and Federal, State, county, and local elected officials are strongly encouraged.

As appropriate, additional interim and final products (for example, articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award. See the discussion under "Application Requirements."

### Public release of automated data sets

The National Institute of Justice is committed to assuring the public availability of research data. Each NIJ award recipient who collects data is required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness and are deposited by NIJ in a public data archive. A variety of formats is acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Pro-*

gram of the National Institute of Justice: A Handbook. A copy of this handbook is sent to each project director at the time of the award.

## Standards of performance by recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project.

Financial and general reporting requirements are detailed in an Office of Justice Programs document, *Financial and Administrative Guide for Grants*. This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

## Program monitoring

Award recipients and Program Managers assume a number of responsibilities as part of their participation in Government-sponsored research.

Each Program Manager and grantee is responsible for developing a monitoring plan for each project. Elements of this plan include:

- A statement of goals, objectives, tasks, program activities, and products.
- A program implementation plan and budget that schedules program expenditures.
- A schedule of monitoring activities.
- A list of products.
- A summary of subsequent program activities in response to implementing the monitoring recommendations (for example, the grantee provided the draft report, and the hold was removed from grant funds).

## Communications

Program Managers should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods (January 1 through March 31, April 1 through June 30, and so forth) regardless of the project's start date. Progress reports will inform the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

## Timelines

Grantees are expected to complete award products within the timeframes that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

## Publications

The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publication other than the following acknowledgment and disclaimer:

This research was supported by grant number \_\_\_\_\_ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

## Data confidentiality and human subjects' protection

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with willing and informed cooperation.

NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings.

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), para 22. A short "how-to" guideline for developing a privacy and confidentiality plan can be obtained from NIJ program managers.

[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or

used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings. (42 United States Code 3789g)

In addition, the Department of Justice has adopted Human Subjects policies similar to those established by the Department of Health and Human Services. In general, these policies exempt most NIJ-supported researchers from Institutional Review Board (IRB) review. However, the Institute may find in certain instances that subjects or subject matters are especially sensitive and may require IRB review. These exceptions will be decided on an individual basis during application review. Applicants should read 28 CFR 46, para 46.101 to determine their individual project requirements.

**Award Period.** NIJ limits its grants and cooperative agreements to a maximum period of 24 months.

**Award Amount.** NIJ encourages applicants to develop a reasonable budget that will adequately cover the costs of the proposed project. Funding of this topic has been tentatively set at \$425,000 for fiscal years 1995 and 1996, for a total of \$850,000 over the course of the 2-year study. It is anticipated that this amount will support one award. Actual funding allocations are based on the quality of proposals received.

**Due Date.** Ten (10) copies of fully executed proposals should be sent to:

Weed and Seed Solicitation  
National Institute of Justice  
633 Indiana Avenue N.W., Room 874  
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business, June 30, 1995. This deadline will not be extended.

**Contact.** Applicants are strongly encouraged to contact NIJ to discuss topic viability, data availability, or proposed content before submitting proposals. To obtain specific information, prospective applicants may contact Laurie Bright, Program Manager, at 202-616-3624.



**Previous Editions Not Usable**

## 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:<br>— "New" means a new assistance award.<br>— "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>— "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |        |  |        |
| 9. Name of Federal agency from which assistance is being requested with this application.   |        |  |        |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.   |        |  |        |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.   |        |  |        |

# BUDGET INFORMATION — Non-Construction Programs

OMB Approval No. 0348-0044

## SECTION A — BUDGET SUMMARY

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

## SECTION B — BUDGET CATEGORIES

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

### SECTION C - NON-FEDERAL RESOURCES

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

### SECTION D - FORECASTED CASH NEEDS

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

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

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

### SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks

## INSTRUCTIONS FOR THE SF-424A

### General Instructions

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

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

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

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

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

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

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

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

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

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

Line 5 — Show the totals for all columns used.

#### Section B Budget Categories

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

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

Line 6j — Show the amount of indirect cost.

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

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

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

### Section C. Non-Federal Resources

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

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

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

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

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

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

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

### Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

### Section F. Other Budget Information

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

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

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

## SPECIAL INSTRUCTIONS

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

## INSTRUCTIONS

### PROGRAM NARRATIVE

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

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

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

#### 2. RESULTS OR BENEFITS EXPECTED.

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

#### 3. APPROACH.

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

show the schedule of accomplishments and their target dates.

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

#### 4. GEOGRAPHIC LOCATION.

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

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

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

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

## ASSURANCES

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

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information 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.





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 67.610—

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 grantees 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

**U.S. Department of Justice**  
**Office of Justice Programs**  
*National Institute of Justice*

*Washington, D.C. 20531*

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