

Handbook

HD 4560.1A

CATEGORICAL GRANT PROCESSING PROCEDURES



OCTOBER 23, 1975

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

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SECRET
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1. Purpose

1. PURPOSE. This document describes and defines procedures for the processing of applications and requests for personnel services within the central office as given in various processing offices in the regional offices and the national headquarters. This document also may be applied to personnel staff as performed in different offices within the regional offices.

2. SCOPE. This document is an integral part of the personnel staff involved in recruitment, processing and management of personnel personnel applications.

3. DEFINITIONS. Personnel services, recruitment, and management procedures, which are defined in this document.

4. SCOPE. This document is an integral part of the personnel staff involved in recruitment, processing and management of personnel personnel applications.

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Robert J. Little
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CHAPTER 1. INTRODUCTION

1. DEFINITION OF LEAA CATEGORICAL GRANTS. LEAA Categorical Grants include the following:

Discretionary Grants, Part C and E	(DF and ED)
Juvenile Justice	(JN, JS, JC)
Research, Development, and Evaluation	(NI, CD)
Systems and Statistics	(SS)
Technical Assistance	(TA)
Training	(PT and TN)
Internships	(IN)

More briefly, LEAA categorical grants are ALL LEAA grants other than (1) block grants to States and (2) Law Enforcement Education Assistance grants awarded pursuant to Part D, Section 406 of the Crime Control Act of 1973.

2. TWO TYPES OF CATEGORICAL GRANTS. For purposes of improving procedures to manage and process categorical grants, LEAA categorical grants are classified into two groups: ONE, national impact grants; TWO, limited impact grants.

a. National Impact Grants are grants:

- (1) Involving two or more LEAA regions, with multi-regional or national impact and effect; OR
- (2) To public interest groups which are not specific-project-oriented; OR
- (3) Which the Administration has determined to be of national interest or impact.

b. Limited Impact Grants are all those grants not included in the definition of national impact grants, subparagraph 2a, above. These grants do not have national impact, but may be part of a program to determine a program's effectiveness, and may have subsequent national impact.

c. It is expected that most grants will be Limited Impact Grants, and most research, development, and evaluation grants will be national impact grants.

- d. National Impact Grants will be processed in accordance with Category 1 procedures, and limited impact grants will be processed in accordance with Category 2 procedures, consistent with the Guide for Discretionary Grant Programs, M 4500.1D.

3. GRANTS UNDER CATEGORY 1 AND 2.

- a. Generally, the following types of grants will fall under Category 1:
- (1) Discretionary, Part C and E.
 - (2) Juvenile Justice.
 - (3) Research and Development and Evaluation.
 - (4) Systems and Statistics.
 - (5) Technical Assistance.
 - (6) Training.
- b. Generally, the following types of grants will or may fall under Category 2:
- (1) Discretionary, Part C and E.
 - (2) Systems and Statistics.
 - (3) Technical Assistance.
 - (4) Internships.

4-6. RESERVED.

CHAPTER 2. RECEIPT AND INITIAL PROCESS, CATEGORY 1

7. APPLICATION FORM AND RECEIPT. Grant applications, original and two copies, should be submitted to the Grants Administration Branch (GAB), Grants and Contracts Management Division (GCMD), Office of the Comptroller, LEAA Central Office. GAB is responsible for:

- a. Logging and initial review of all categorical national-impact applications. The initial review includes a check of the State Planning Agency endorsement, required signatures, timely submission, and compliance with A-95, Civil Rights, Affirmative Action, Historic Site, Relocation Assistance, National Environmental Policy Act, and National Clearinghouse of Criminal Justice and Architecture requirements.
- b. Referral of application to lead program office for their review, providing informational copies of applications to other appropriate LEAA offices, referral of application to Financial Management Services Branch, GCMD, for budget review when requested by program offices, and providing copies to cognizant State Planning Agencies and regional offices for their review and comment.
- c. Input of information to GMIS on application status such as corrections, resubmissions, suspensions, withdrawals, rejections or awards.
- d. Monitoring for compliance with 90-day processing rule. The 90-day rule is described in Instruction I 4062.5.

8. APPLICATION PROCESSING. For detailed procedures on roles of central office staff involved in processing categorical applications, refer to the appropriate Instruction (I 4062 Series) concerning central office processing of categorical grant applications.

9-11. RESERVED.

CHAPTER 3. REVIEW AND APPROVAL OF APPLICATION, CATEGORY 1

12. APPLICATION REVIEW.

- a. The Program Office shall process applications in accordance with the individual LEAA program office's procedures. One grant manager shall be assigned responsibility for the review of a grant application.
- b. Criteria for preparing a Grant Manager's Memorandum for category 1 and 2 grants are provided in appendix 6.
- c. The Grant Managers' Memo is prepared by the grant manager and must reference any comments received by the regional office, SPA, and State and local A-95 Clearinghouses. Grant managers must allow at least 30 days for RO, SPA, and Clearinghouse to respond with comments on a grant application.

13. RECOMMENDATION TO DISAPPROVE A GRANT APPLICATION.

- a. If a grant manager determines a grant application should not be approved, he must prepare a letter of rejection. The letter shall be signed by the office head (or other authorized person) and sent to the applicant. A copy of the rejection letter must be forwarded to GCMD for the official file and for authorization to input the rejection information into the Grants Management Information System (GMIS). If the application has been packaged for award, the package should be included with GCMD's copy of the rejection letter. A copy must also be sent to the SPA.
- b. Rejection letters shall contain clear reasons why the application was not recommended for funding. Letters should describe the LEAA procedures and criteria which were utilized to reach the decision on the grant application. Reference OGC suggested rejection criteria.

14. RECOMMENDATION TO APPROVE A GRANT APPLICATION. An application which is recommended for funding must be packaged in a folder or binder and handcarried to GCMD. This package should include the following items (originals) and in the following order:

- a. Typed original Grant Award.
- b. Typed original Project Summary, LEAA Form 4000/8.
- c. Special Conditions.
[Sample Awards, Project Summaries, and Special Conditions are shown at appendices, 1, 2, 3, 4, and 5.]

- d. Grant Managers' Memorandum, signed by the grant manager and endorsed by [his] office head (THE STANDARD FORMAT FOR ALL GRANT MANAGERS' MEMORANDA IS SHOWN AT APPENDIX 6.)
- e. Financial reviews and final Financial Clearance Memorandum.
- f. Application with regional office and SPA comments and endorsement and A-95 compliance.

15. PROCEDURES FOR APPROVAL.

- a. The application package is forwarded to GCMD for final administrative review to assure compliance with the agency's financial and processing requirements.
- b. GCMD reviews application package, assigns award number, prepares material for Grant Review Meeting and clears final fund availability with Budget Division.
- c. GCMD handcarries the application package to the Grant Review Meeting for final screening prior to Administrator signoff.
- d. Grant Review Meeting Members determine whether a grant is forwarded to the Administrator for signoff or if the grant should be formally presented to the Administrator at an Oral Review Meeting. This Oral Review Meeting is held on an as-needed basis.

16. POST-APPROVAL PROCESSING. Grant applications and awards signed by the Administrator are processed in accordance with LEAA Instruction "Central Office Processing Procedures for Categorical Grant Applications" (I 4062.6 Series).

17-19. RESERVED.

CHAPTER 4. GRANT MONITORING, CATEGORY 1

20. MONITORING RESPONSIBILITY. Category 1 grants shall be monitored for compliance with financial and program requirements from Central Office by Central Office program personnel, utilizing technical and financial specialists as appropriate and necessary.
21. MONITORING COORDINATION. Copies of progress reports and site-visit reports shall be furnished in a timely fashion to appropriate regional offices and SPA's by the program monitor.
- 22-24. RESERVED.

CHAPTER 5. RECEIPT AND INITIAL PROCESS, CATEGORY 2

25. APPLICATION FORM AND RECEIPT.

- a. Category 2 grant applications, original and two copies, are submitted to the appropriate regional office; one copy is also sent by applicant to the appropriate SPA. Applicants are to be encouraged to solicit SPA certification before submitting applications to LEAA, and to transmit SPA certification with the application for LEAA grant funds. (See also Guide for Discretionary Grant Programs, M 4500.1D, Chapter 1, paragraph 21.) A copy of the application should be sent to the State and local A-95 clearinghouse (with a letter of intent to apply for federal assistance).
- b. Regional Control Desks record, file, and process grant applications in accordance with customary regional office procedures. The Control Desks in the regions perform functions for the Category 2 grants which parallel functions performed by GAB, GCMD for Category 1 grants (see chapter 2).
- c. The Control Desk forwards the grant application to the appropriate professional staff person responsible for conducting, managing and coordinating the review of each grant application.

26. INITIAL REVIEWS.

- a. RO performs a preliminary review of the grant application, and within 10 days, sends to Central Program Office those grant applications which meet DF guideline requirements. RO rejects those which do not meet those requirements or are otherwise inappropriate or unsatisfactory.
- b. Central Program Office - within 30 days after receiving applications:
 - (1) Reviews proposals, selecting those requiring full RO review, and returns them to RO with approval in writing and sending a copy of the approval to the Budget Division, OC, for approving an operating plan (authorizing the RO to obligate funds for a grant award).
 - (2) Selects those applications which should be rejected, and sends them back to RO, furnishing written reasons to RO for rejection, in accordance with criteria for selection-rejection contained in program descriptions in the Guide for Discretionary Grant Programs, M 4500.1D.

27. APPLICATION REVIEW BY RO.

- a. RO completes financial, programmatic, and administrative reviews, prepares a grant managers' memorandum, and sends forward its recommendations to the Regional Administrator.
- b. A grant application requires the Administrator's approval if:
 - (1) The grant application proposes to perform work or investigate a concept not previously demonstrated or tested elsewhere;
 - (2) The grant application proposes work in a controversial area;
 - (3) The grant application is for \$300,000 or more; OR
 - (4) The application is for a construction grant.
- c. The Administrator's approval for these kinds of grants may be secured by decision paper, prepared by the regional office, containing:
 - (1) A brief description of the proposed grant work, stated in one or two paragraphs;
 - (2) The amount of the proposed award, total project amount, and length of project period;
 - (3) The Regional Administrator's recommendation concerning the application; and
 - (4) A signature block for the Administrator's approval or disapproval.
- d. Decision papers may be included in application packages submitted to central program offices for initial reviews (see paragraph 26).

- e. Awards for category 2 grants are customarily made to the SPA, which subgrants the money.
- f. Regional Offices are responsible for notifying the Office of the Comptroller of any variances from approved grant award amounts or operating plans. Regional Offices are required to use approved monies only for those specific purposes contained in each operating plan.

28. GRANTS MANAGEMENT RESPONSIBILITIES. Any Regional Administrator may require supplementary management or administrative reports or procedures which he deems are necessary to properly manage grants awarded within his region.

29-31. RESERVED.

CHAPTER 6. GRANT MONITORING, CATEGORY 2

32. GRANT MONITORING RESPONSIBILITY. Regional Administrators shall be responsible for assuring all necessary monitoring is completed for category 2 grants awarded within their region. Participation of LEAA Central Office staff and/or the SPA may be arranged. General monitoring procedures are described in program descriptions, M 4500.1D; specific monitoring tasks should be contained in the grant managers' memorandum, including agreement of the regional office and central program office concerning monitoring responsibilities.
33. MONITORING REPORTS. Copies of monitoring and progress reports shall be furnished to the central program office.
- 34-36. RESERVED.

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APPENDIX 1. SAMPLE AWARD TO GRANTEE

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D. C. 20531



GRANT AWARD

AWARD DATE 9-20-75

Grantee: Council on Crime and Delinquency

Period of Grant: 10/01/75 - 9/30/76

Grant Amount: 1,000,000 Grant Number: 75DF-99-0000

*Award is hereby made in the amount and for the period shown above of a grant under (Title I of the Crime Control Act of 1973, P.L. 93-83), to the above-mentioned grantee for the purposes set forth in the sub-grantee's application. This award is subject to the Administration's current conditions governing grants as well as the attached Special Conditions.

RICHARD W. VELDE
Administrator

CONCURRENCES:

CHARLES R. WORK
Deputy Administrator
for Administration

IRS#

Accepted for the Grantee:

Signature of Duly Authorized Official

*If this is a grant from Juvenile Justice & Delinquency Prevention, (the Act is changed) and a Juvenile Justice award number is assigned (JN,JS,JC).



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APPENDIX 2. SAMPLE AWARD TO GRANTEE/SUBGRANTEE

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D. C. 20531



GRANT AWARD

AWARD DATE 7/30/75

Grantee: (Name of SPA)

Sub-Grantee: Department of Corrections

Period of Grant: 8/1/76 - 7/31/77

Grant Amount: \$900,000 Grant Number 75ED-99-0000

*Award is hereby made in the amount and for the period shown above of a grant under Title I of the Crime Control Act of 1973, P.L. 93-83, to the above-mentioned grantee for the purpose set forth in the sub-grantee's application. This award is subject to the Administration's current conditions governing grants as well as the attached Special Conditions.

RICHARD W. VELDE
Administrator

CONCURRENCE:

CHARLES R. WORK
Deputy Administrator
for Administration

IRS#: _____

Accepted for the Grantee:

Signature of Duly Authorized Official

*If this is a grant from Juvenile Justice & Delinquency Prevention, (the Act is changed) and a Juvenile Justice award number is assigned (JN,JS,JC).



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APPENDIX 3. SAMPLE SUPPLEMENTAL GRANT AWARD

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D. C. 20531



GRANT AWARD

AWARD DATE 12/2/75

Grantee: Action Group, Inc.

Period of Grant: 1/2/76 - 12/30/75

Grant Amount: \$1,000,000 Grant Number 76SS-99-0000(S-1)

*Award is hereby made in the amount and for the period shown above of a grant under Title I of the Crime Control Act of 1973, P.L. 93-83, to the above-mentioned grantee for the purposes set forth in the sub-grantee's application. This award is subject to the Administration's current conditions governing grants as well as the attached Special Conditions.

Amount of Original Grant	\$1,000,000
Amount of Supplement	<u>900,000</u>
Total	\$1,900,000

RICHARD W. VELDE
Administrator

CONCURRENCES:

IRS#: _____

CHARLES R. WORK
Deputy Administrator
for Administration

Accepted for the Grantee:

Signature of Duly Authorized Official

*If this is a grant from Juvenile Justice & Delinquency Prevention, (the Act is changed) and a Juvenile Justice award number is assigned (JN,JS,JC).



APPENDIX 4. SAMPLE SPECIAL CONDITIONS

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20530
SPECIAL CONDITIONS




Grantee: Council on Crime and Delinquency
Grant Number: 75DF-99-0000

In addition to the General Conditions contained in the application to which this grant is subject, it is also conditioned upon and subject to compliance with the following conditions:

1. Grantee agrees to insure adherence by subgrantee to (i) general and specifications and/or requirements and such reporting requirements for quarterly and financial and narrative reports as set forth in Guideline Manual for Discretionary Grant Programs, M 4500.ID and (ii) financial administration requirements as set forth in the Guideline Manual for Planning and Action Grants, M 7100.IA.
2. All published material and written reports submitted under this grant or in conjunction with contracts under the grant must be originally developed material unless otherwise specifically provided in the grant or contract document. When material, not originally developed, is included in the report, it must have the source identified. This identification may be in the body of the report or by footnote, this provision is applicable when the material is in a verbatim or extensive paraphrase format.
3. No otherwise qualified handicapped individual in the United States as defined in Section 7(5) of the Rehabilitation Act of 1973 (P.L. 93-112) shall, solely by reason of his handicap, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance from LEAA.
4. This grant award, or portion thereof, is conditional upon subsequent congressional or executive action which may result from Federal budget deferral or rescission actions pursuant to the authority contained in Sections 1012(a) and 1012(a) of the Congressional Budget and Impoundment Control Act of 1974, 31 U.S.C. 1301, Public Law 93-344, 88 Stat. 297. (July 12, 1974).
5. Grantee must submit to LEAA three (3) copies of any handbook, manual video tape and/or any final product upon termination of grant.

APPENDIX 5. SAMPLE PROJECT SUMMARY

 U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		GRANT PROJECT SUMMARY	
		GRANT NUMBER 75ED-99-0000	
<input checked="" type="checkbox"/> THIS PROJECT IS SUPPORTED UNDER TITLE I OF THE OMNIBUS CRIME CONTROL ACT OF 1973 <input type="checkbox"/> THIS PROJECT IS SUPPORTED UNDER TITLE II OF THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974 <input type="checkbox"/> OTHER			
1. STAFF CONTACT (Name, address & telephone number) Mary Doe Grants Administration Branch Law Enforcement Assistance Administration		2. PROJECT DIRECTOR (Name, address & telephone number) John Hancock	
3. TITLE OF PROJECT National Parole Program			
4. NAME & ADDRESS OF GRANTEE Mr. James Gleason, Executive Director Oklahoma Crime Commission 5235 North Lincoln Boulevard Oklahoma City, Oklahoma 73105		5. NAME & ADDRESS OF SUBGRANTEE ABC Fund for Education 1000 W 9th Place Hootersville, Oklahoma 75000	
6. AMOUNT OF AWARD \$333,333		7. PERIOD OF AWARD 7/1/74 - 6/30/75	
8. TOTAL PROJECT AMOUNT \$370,370	9. TOTAL PROJECT PERIOD 12 Months	10. DATE OF AWARD 7/23/74	
11. SUMMARY DESCRIPTION OF PROJECT <p>The (NAME OF APPLICANT) has applied for continuation funding for the third and final year of the project to provide volunteer young attorneys to supervise parolees. The project uses young lawyers in a one to one relationship with parolees. First year program was implemented in 12 states and utilized the services of almost 1,000 attorney volunteers. Second year funding expanded the program to 21 states and increased the number of volunteers to approximately 1900.</p> <p>The current proposal plans to continue the program at its present level and give primary emphasis to institutionalization to the program.</p> <p>Project staff will review the project state by state with particular attention to the methods and problems, and an examination of local resources available for continuation support. The study will be done with the assistance of the local bar and the correctional system. The local bar association will be expected to take the lead in implementing the model for institutionalizing of the program.</p>			

APPENDIX 6. GRANT MANAGER'S MEMORANDUM, CATEGORY 1
AND CATEGORY 2 GRANTS

I. Project Information.

A. Purpose Statement.

Give a brief statement of what this grant purports to do (i.e., what it attempts to achieve, demonstrate, initiate, prove or disprove, and why we are doing this). For multiple-phase awards, describe the overall purpose of the project as well as the current phase. This statement should reflect a positive determination on the part of the grant manager that this grant will ultimately lead to the achievement of the stated goals of LEAA. For this reason, it would best be in the words of the grant manager.

B. Methodology.

1. Briefly describe the applicant's proposed methodology for achieving the goals and objectives of the grant.
2. Include a discussion of the anticipated product(s).

C. Summary of State-of-the-Art in Program Area Proposed in Application.

1. Responsibility. Briefly describe the current state of knowledge that exists in the project area and how this project will relate to it.
2. Activities.
 - a. Grant managers should query OMIS, HCJRS, as well as other affected LEAA offices (e.g., HILECJ, HCJISS, ONPP, ORO, etc.) to determine:
 - (1) Extent of work previously or currently being performed by LEAA in the subject area in this grant application.
 - (2) Worth and scope of the work proposed with respect to existing knowledge and state-of-the-art.
 - b. Include a discussion of the general state-of-the-art of the project area utilizing relevant sources outside of LEAA.

APPENDIX 6 - CONT'D.

3. Output. A brief statement describing persons contacted and nature of response will satisfy this responsibility.

E. Management-By-Objectives. (MBO)

1. Responsibility. Describe the relationship between the work proposed in grant application and LEAA objectives and priorities.
2. Activities.
 - a. Cite the MBO general objective and program objective category.
 - b. Briefly describe how this grant will relate to the grant manager's office workplan and LEAA's goals and objectives.
 - c. Cite the Program Category Code as outlined in the Discretionary Manual, M 4500.1D.
3. Output. A description of the relationship between this project and MBO is required for this item.

F. Utilization of Results.

1. Responsibility. Analyze the value and potential utilization of the output and results of this grant.
2. Activities.
 - a. Review the grant applicant's or LEAA's plan for implementing, publishing and/or utilizing the results of each proposed project. In other words, once the work is completed, what are we going to do with it.

APPENDIX 6 - CONT'D.

3. Output. Summarize findings resulting from these activities in enough detail to enable the approving authority to understand how this project will relate to what is currently known and has already been done in the project area.

D. Relationship With Related Programs in Other Interested Law Enforcement and Criminal Justice Agencies.

1. Responsibility. Determine the extent to which the purpose and objectives stated in the grant application will be consistent (or inconsistent) with current programs in related areas of the law enforcement and criminal justice system.

a. The purpose of considering this issue are:

- (1) To prevent duplication of effort within the various agencies in the nation's law enforcement and criminal justice system.
- (2) To prevent LEAA's funding of research projects or innovative programs whose substance has already been studied or demonstrated.
- (3) To enable the approving authority to assess how this project will be received by other agencies which will be affected by this grant.

2. Activities.

a. Conduct inquiries with the following WHERE APPROPRIATE to determine this.

- (1) Appropriate SPA's.
- (2) Appropriate Regional Offices. (e.g., State representatives and/or TA specialists).
- (3) Cognizant program offices or desks within LEAA.
- (4) Any other law enforcement or criminal justice agency which will be directly affected by this grant.

b. Summarize all positive and negative comments received.

APPENDIX 6 - CONT'D.

3. Output. A brief statement describing persons contacted and nature of response will satisfy this responsibility.

E. Management-By-Objectives. (MBO)

1. Responsibility. Describe the relationship between the work proposed in grant application and LEAA objectives and priorities.
2. Activities.
 - a. Cite the MBO general objective and program objective category.
 - b. Briefly describe how this grant will relate to the grant manager's office workplan and LEAA's goals and objectives.
 - c. Cite the Program Category Code as outlined in the Discretionary Manual, M 4500.1D.
3. Output. A description of the relationship between this project and MBO is required for this item.

F. Utilization of Results.

1. Responsibility. Analyze the value and potential utilization of the output and results of this grant.
2. Activities.
 - a. Review the grant applicant's or LEAA's plan for implementing, publishing and/or utilizing the results of each proposed project. In other words, once the work is completed, what are we going to do with it.

APPENDIX 6 - CONT'D.

- b. Determine whether this plan will optimally utilize the proposed grant's outcome. For example, if it is basic research, who will become aware of it? If it is applied research, who will use it, and under what (planned) circumstances? Specifically, how will the intended audience use the information. If it is a model, pilot, or test project, where and to what extent will it be implemented if it is a success? How can its failure be constructively promulgated? If its outcome is a monograph or report, how will it be published and distributed?
3. Output. A brief statement describing the plan for utilizing this grant's results will fulfill this responsibility.

G. Monitoring Design.

1. Responsibility. Briefly describe the methods which will be utilized to insure that the grantee is fulfilling the terms and objectives of the grant.
2. Activities.
 - a. Indicate whether milestones with which to measure the grantee's performance are included in the application.
 - b. Outline the criteria that the grant manager will use to measure whether the grantee is fulfilling the terms and objectives of the grant.
 - c. The monitoring requirements contained in Chapter 4 of the DF Guidelines should be utilized as a minimum in preparing and outlining this strategy.
3. Output. A complete summary of the monitoring strategy should be contained in this section of the Grant Manager's Memo.

APPENDIX 6 - CONT'D.

H. Evaluation.

Prepare a summary of the Evaluation Plan for this grant.

II. Grant Applicant Information.

A. Criteria for Choice of Applicant.

1. Responsibilities. Describe the criteria utilized to select this applicant to perform this work. Show that he possesses the required expertise to perform the work in this grant.
2. Activities.
 - a. Describe how and why this applicant was selected to perform this work.
 - b. Explain why this applicant is particularly suited to perform the work in the grant under review (e.g., what is his professional background).
 - c. Briefly summarize work the applicant has previously done in this area and how the work proposed in the application relates to it.
3. Output. A brief statement summarizing this information is sufficient.

B. Applicant's Integrity.

1. Responsibility. Indicate what steps have been taken to determine the managerial and fiscal integrity of the grant application.
2. Activities. Conduct a review to determine whether applicant has previously performed work for LEAA and, if so, whether applicant's past performance has been satisfactory. To accomplish this, the following sources should be utilized.
 - a. Within LEAA
 - (1) Office of the Comptroller.
 - (a) Information Systems Division, Grants Management Information System (GMIS)
 - (b) Grants and Contracts Management Division (GCMD)

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- (2) Office of Regional Operations
 - (a) Central Office program sections.
 - (b) Appropriate regional office (State representative and program specialists)
- (3) Inspector General (if the Inspector General has completed the fiscal integrity check, attach it.
- (4) Other LEAA offices, if appropriate.

b. Outside LEAA, if appropriate.

(1) SPA's.

- 3. Output. A brief statement showing sufficient information regarding the applicant's managerial capability is adequate. Supply both positive and negative information.

III. Financial Information.

A. Continuation Requirements.

- 1. Responsibility. Determine (for grants whose funding period exceeds one year) the precise nature of LEAA's continuation commitments, expressed or implied, in the grant application.
- 2. Activities.
 - a. Review the grant application and ascertain:
 - (1) Amounts of funding requested or planned to be requested for the second and all succeeding years of a grant.
 - (2) Impact on office and program objective budgets of:
 - (a) This long-term grant application, and

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(b) Other related long-term applications, both within the grant manager's office and for the program objective addressed by the application under review (if applicable).

b. Grant applications requesting funds for a second or third year must contain a section indicating progress achieved in prior funding periods. A grant will not be signed without a monitor's report for the previous year. The quality of this monitor's report will be used as a minimum in determining whether a grant should be signed. At a minimum, the criteria used should be that contained in the DF Guideline.

3. Output. A comprehensive summary of findings should be prepared by the grant manager to fulfill this responsibility.

B. Grant's Impact on Awarding Office's Budget.

1. Responsibility. Show what impact this grant will have on the awarding office's budget and the budget allocation for the appropriate program objective.

2. Activities.

a. Provide a breakdown of figures similar to the following example:

Office Budget

Total Program Office FY Budget	\$100,000
Obligated to date	25,000
This grant	10,000
New obligated to date	35,000
Future obligations planned	20,000
Remaining unobligated and not planned	45,000
Percentage of total program office budget consumed by this grant	10%

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MBO Program Objective Addressed by this Grant 2.99

FY allocation for this objective	40,000
Percentage of Total MBO objective consumed by this grant	25%

3. Output. A brief statement of the above information is sufficient.

C. Budget Review.

1. Attach as an addendum the Budget Review prepared by the Financial Management Services Branch of the Comptroller's Office and Financial Division in the Regional Office for Category 2 grants.

D. Pre-Agreement Costs.

State whether prior approval has been received from the Office of the Comptroller and Financial Division in the Regional Offices for Category 2 grants for pre-agreement costs, if applicable.

IV. Summary

1. Responsibility. Provide any relevant information not already contained in the memo.
2. Activities.
 - a. Bring to the attention of the approving authority anything which he should know in order to make an informed decision about this grant.
 - b. Include all negative aspects of this grant.
 - c. Point out problems which may arise and indicate how they should be handled (e.g., whether they should be special conditioned, etc.).

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3. Output. Provide as complete a statement as is necessary to cover any aspect of this grant not covered in the main body of the memo.

V. Recommendations.

All individuals who have approval authority over this grant should approve the Grant Managers' Memo and recommend the application for funding (i.e., Branch Chief, Division Director, Office Head, etc.).