

Handbook

HB 4500.2A

PROCEDURES FOR ADMINISTRATION OF CATEGORICAL GRANTS



DECEMBER 2, 1977

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

All LEAA Central Office
Professional Personnel:
SPAs (2 ea. info. only)

Initiated By: Office of the Comptroller

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FOREWARD

1. PURPOSE. This Handbook is designed to provide policies and procedures on the administrative aspects of grant management for LEAA categorical grants. Policies and procedures in this Handbook are developed to insure consistency by LEAA offices in the administration of LEAA grants.
2. APPLICABILITY. Policies and procedures set forth in this Handbook are applicable to all categorical grant programs and projects of LEAA.
3. USE. This Handbook is designed to serve as the basic reference for those LEAA personnel involved in the ongoing management aspects of LEAA categorical grants, and for others within the operating programs of LEAA who deal with the award, review, and/or other program management aspects of these grants. The Handbook does not describe procedures for resolving technical problems that may be encountered in managing LEAA grant programs. Specialized "handbooks" and "program guides" have been developed by specific LEAA operating components to provide instructions on those kinds of problems.
4. POLICY DEVIATIONS. In the event an LEAA manager determines that a policy should not be or cannot be applied to a program or project, or to a particular circumstance of a program or project, a written request for deviation shall be submitted to the Office of the Comptroller. This request shall specify: the provisions of the policy that are considered inapplicable to the project, program or circumstance; the reasons why they are considered inapplicable; and the provision that is intended to be substituted. Action shall not be taken to implement the proposed deviation until written authorization has been received from the Office of the Comptroller.
5. PLAN OF THE HANDBOOK. This Handbook is divided into seven chapters, with each chapter providing procedures for an aspect of grant administration.
 - a. Chapter 1 provides an overview of the preapplication/application and grant management process.
 - b. Chapter 2 provides procedures for the preparation, submission, review and award of categorical grants.
 - c. Chapter 3 provides procedures for preparation, submission, processing, review and award of applications for categorical funds.
 - d. Chapter 4 describes the role of the Financial Management Manual and provides administrative requirements regarding change in the parameters of a project, subsequent to award.

- e. Chapter 5 provides procedures for monitoring ongoing projects funded through categorical grants.
 - f. Chapter 6 discusses LEAA grant close-out procedures, to be employed upon expiration of categorical grants.
 - g. Chapter 7 assigns responsibility for providing information into PROFILE.
6. MAJOR TEXTUAL CHANGES. The following major changes are incorporated in this handbook.
- a. Chapter 1 paragraph 7c. Grants Contract Action Board will review all categorical grants in excess of \$300,000. Grants \$300,000 or less will be sent directly to the administration for approval.
 - b. Chapter 1 paragraph 9. Provides guidance for the selection of award instrument, (Contract or Grant).
 - c. Chapter 3, paragraph 47. Defines the nature and extent of the grant managers review of applications. See Appendix 4 for Revised Grant Managers Memorandum.
 - d. Chapter 3, paragraph 49f. Establishes new procedures for Part E review and certification.
 - e. Chapter 3, paragraph 49c. Establishes new requirement for Equal Employment Opportunity.
 - f. Chapter 3, paragraph 49d. Establishes new requirement for privacy certification (see Appendix 24 for Certification sample).
 - g. Chapter 3, paragraph 50. Defines the nature and extent of the budget review.
 - h. Chapter 3, paragraph 50c. Establishes a new requirement for integrity/capability review.
 - i. Chapter 3, paragraph 52a. Requires Office Heads to certify all grants. See Appendix 22 for a sample of the Office Head Certification.
 - j. Chapter 3, paragraph 52c. Requires the Comptroller to certify all categorical grants. Note: if the Comptroller is unable or unwilling to certify a grant, the grant is returned to the Program Office.

- k. Chapter 4, paragraph 86. List changes to a grant which require issuance of an adjustment notice. Requires the grant manager to prepare a memorandum of project change which sets forth the reason, basis and circumstance which justify the change and requires the grant manager to forward the adjustment package to FMGAB for numbering, data input to PROFILE and mailing to the grantee.
 - l. Paragraphs 97, 98 and 99. These paragraphs establish new procedures for the receipt review and analysis of grantee progress and financial reports.
 - m. Chapter 7. This chapter assigns responsibility for data input into PROFILE.
7. CANCELLATION. Handbook 4500.2, Procedures for Administration of Categorical Grants dated February 8, 1977 is cancelled.
8. FURTHER GUIDANCE. Office of the Comptroller, Policy and Training Division, will be pleased to deal with questions not covered by this handbook and welcomes suggestions calculated to increase the utility of this handbook or clarify its contents. Active participation in such efforts by agency personnel can help considerably to build this handbook into a superior working tool for discharging grant administration responsibilities.

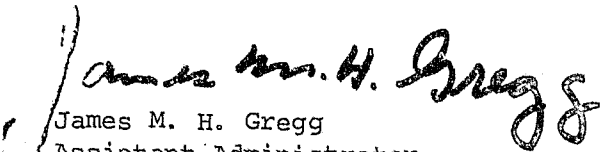

James M. H. Gregg
Assistant Administrator
Office of Planning and Management



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CHAPTER 1: OVERVIEW OF PREAPPLICATIONS/APPLICATION/GRANT
MANAGEMENT PROCESS

SECTION 1: FUND TYPES AND STAGES OF PROCESS

1. TYPES OF CATEGORICAL FUNDS. LEAA categorical funds include all funds provided by the Agency other than block funds and funds awarded pursuant to Part D, Section 406 of the Omnibus Crime Control and Safe Streets Act of 1968, as amended. Specific types of funds within this category are:

Community Anti-Crime	(CA)
Discretionary, Part C and E	(DF and ED)
Internship	(IN)
Juvenile Justice	(JN, JS, and JC)
Law Enforcement Education Program	(LP)
Research, Development, and Evaluation	(NI and CD)
Systems and Statistics	(SS)
Technical Assistance	(TA)
Training	(PT and TN)

2. BASIC STAGES IN THE MANAGEMENT OF CATEGORICAL FUNDS

- a. PREAPPLICATION. The preapplication stage consists of all LEAA contact with a potential applicant prior to the submission of a formal application. It is at this stage that programmatic personnel in the Law Enforcement Assistance Administration (LEAA) provide counsel to prospective applicants in project development, encourage grant applications for projects which would contribute to LEAA's objectives and discourage grant applications for projects which would not contribute to LEAA's objectives. General preapplication standards are given in Chapter 2.
- b. APPLICATION RECEIPT, REVIEW AND ADMINISTRATION. This stage refers to all LEAA administrative procedures necessary for formal review and final disposition of all categorical grant applications. This step commences with the preparation and submission of a formal application and terminates with the notification to the applicant of the decision made on the grant application. Detailed procedures are given in Chapter 3.
- c. GRANT ADMINISTRATION. Upon the award of a categorical grant, the project director becomes responsible for managing the grant according to several general financial standards and administrative conditions. Chapter 4 deals with the use of the "Guideline Manual for Financial Management", M7100.1 for determination of and adherence to financial standards and provides procedures for administrative changes in a project. Grantee reporting requirements are also covered in this Chapter.

- d. Grant Monitoring. Upon the award of a categorical grant, the grant manager becomes responsible for monitoring the grant and reporting on the results of his/her monitoring. Chapter 5 deals with the LEAA categorical grant monitoring policy and procedures.
- e. Grant Close-Out. Upon termination of a categorical grant, the grant manager and the Financial Management and Grants Administration Branch (FMGAB) have functional responsibilities for the timely and proper closing of grants. Chapter 6 deals with the LEAA policy and procedures for closing a grant.

FIGURE 1-1. SUMMARY OF THE GRANT PROCESS*

<u>Process Stage</u>	<u>Functions of Applicant/Grantee</u>	<u>Functions of LEAA</u>
1. Preapplication/ concept papers/ outlines	*Concept development *Possible submission of preapplication, concept paper, outline, etc. (Chapter 2)	*Possible preapplication counseling (Chapter 2)
2. Application Receipt, Review and Admini- stration	*Submission of Formal Application Forms and Information (Chapter 3) *Making of grant assurances (Chapter 4)	*Efficient and fair processing of, review of, and decisions on, grant applications (Chapter 3)
3. Grant Admini- stration and Monitoring	*Management of project according to financial and administrative standards (Chapter 4) *Self assessment on the basis of project goals (Chapter 5)	*Effective review of grants for grant adjustments (Chapter 4) *Monitoring on the basis of project and agency goals and management standards (Chapter 5)

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|--|--|--|
| 4. Grant Close Out
(Termination or
Expiration of
Grant) | *Submission of final
reports (Chapter 6) | *Close-out procedures
Chapter (6) |
| | *Record Retention for a
minimum of three years,
following submission of
FINAL Financial Status
Report. | *Maintenance of records
in an inactive file.
(Chapter (6)) |

SECTION 2: GRANTS ADMINISTRATION RESPONSIBILITIES
AND FUNCTIONS

3. RESPONSIBILITY OF OFFICE HEADS.

- a. All office heads shall be responsible for the proper administration of all grants management functions assigned to their office.
- b. All office heads shall appear at designated meetings of the Grant/Contract Action Board as advocates for their grants, contracts, and interagency agreements which fall within the jurisdiction of the Board. Office heads may be accompanied by appropriate personnel from their own office, as they deem necessary.
- c. Any office head who is on approved leave or agency business of extreme urgency will be exempted from the requirements of paragraph 3b. In such a case, a predesignated and approved alternate shall appear before the Board as advocate.

4. THE OFFICE OF THE ADMINISTRATION. The Office of the Administration establishes policy on all aspects of grants management. In addition, the Office of the Administration shall make final determinations on the approval or rejection of all recommended grant applications.

5. THE OFFICE OF THE COMPTROLLER. In the area of grants management, the Office of the Comptroller shall be responsible for:

- a. Formulation and development of policies and procedures governing the non-programmatic aspects of grants administration;
- b. Supervision of all procurement activity;
- c. Expeditious processing of grant applications, financial management and administration of grants and closing out grants;
- d. Maintenance of official application and grant files;

- e. Performance of all specific procedures ascribed to the Office of the Comptroller in subsequent chapters; and
- f. Maintenance of LEAA's computerized Grant Program File (PROFILE).

6. PROGRAM OFFICES

- a. LEAA Program Offices include: all offices with authority to recommend grant applications for approval.
- b. Processing. Program Offices shall review applications for grants. A grant manager will be assigned to each application and he/she will have primary responsibility for the cognizant program office's review (See Chapter 3).
- c. Monitoring. Grants shall be monitored for compliance with financial and program requirements by program personnel, utilizing technical and financial specialists as appropriate and necessary. Monitoring procedures for all categorical grants are described in Chapter 5.
- d. Program Management. Many grants will be part of integrated programs designed to contribute to LEAA's objectives. Program Office Heads shall be responsible for the proper administration of all such programs within their jurisdiction.

7. THE GRANT/CONTRACT ACTION BOARD.

- a. Membership. The Grant/Contract Action Board consists of the following members:
 - (1) Assistant Administrator, OPM, Chairman;
 - (2) Associate Administrator, OJJDP, Member;
 - (3) Comptroller, OC, Member; and
 - (4) Program Office Representative, Member. The Program Office Representative will be selected from a panel consisting of Assistant Administrators and other senior staff from OCJP, OCJET, NCJISS and NILECJ. Panel membership will be designated by the Administration. In no cases may a Board member participate in the review of proposals from his/her office.
- b. Meeting Procedures. Office heads shall appear before the Board as advocates for their grants, contracts, or IAA's unless on approved leave or agency business of extreme urgency. In such cases, a predesignated and approved alternate shall appear before the Board as advocate. Office heads also may be accompanied by appropriate

personnel from their own office, as they deem necessary. The Board will discuss all instruments on the agenda with the office head, focusing on:

- (1) The proposals' relationship to or impact on LEAA activities, policies, and priorities;
- (2) The degree to which the instrument(s) (grant, contract, inter-agency agreement) support agency goals and objectives; and,
- (3) The rationale for attaining agency goals and objectives through the award of the instrument(s).

c. Grant Review Responsibilities. The Board will review ALL CATEGORICAL GRANTS in excess of \$300,000 (except LEEP grants) and any grants less than \$300,000 which the Administration refers to the Board. In each instance the Board will recommend that the Office of the Administration:

- (1) Approve the instrument;
- (2) Approve the instrument with Special Conditions;
- (3) Return the instrument to program office for more information; or
- (4) Reject the instrument, with right of appeal by office head to the appropriate Administrator.

This recommendation will be based on consideration according to the procedures outlines in Chapter 3.

d. NON-GRANT RESPONSIBILITIES OF THE GRANT/CONTRACT REVIEW BOARD. In addition to reviewing all pre-award binders, the Grant/Contract Action Board shall be responsible for reviewing the following actions.

- (1) All Requests for Contract Action;
- (2) Sole Source procurements, whose amounts exceed \$10,000, excepting second phases of competitive contracts which originally anticipated a second phase. The Board shall require appropriate justification for all such procurements;
- (3) Contract amendments and modifications whose amounts exceed \$50,000, or 50 percent of the original amount, whichever is lower; and,
- (4) Interagency Agreements which amounts exceed \$10,000.

8. RESPONSIBILITIES OF OTHER OFFICES. NON-PROGRAMMATIC grant administration responsibilities held by other offices are as follows:
- a. The Office of Planning and Management shall be responsible for notifying members of the Grant/Contract Action Board of the time and place of each Board meeting, preparing agenda for the meeting, maintaining a record of Board meetings and actions, and providing secretarial support for the Board. Records describing actions taken by the Board on each instrument under consideration and the location of each instrument shall be maintained until final decisions are made by the Administration. Within 24 hours following the Board meeting, the Office of Planning and Management shall notify the cognizant office head of the Board's recommendation. The Office of Planning and Management shall provide general direction and control of LEAA planning and management efforts.
 - b. The Office of Civil Rights Compliance shall be responsible for conducting compliance reviews of State and local criminal justice agencies that receive LEAA funds, processing complaints of discrimination based on race, sex, national origin, or religion by employers or participants in LEAA-funded programs, and monitoring LEAA-funded construction projects for compliance with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 200d) and section 518 (c) of the Crime Control Act of 1973 (42 U.S.C. 3701).
 - c. The Office of Audit and Investigation shall be responsible for:
 - (1) Auditing categorical grants and reviewing and transmitting audits of categorical grants performed by State Auditors, SPA Auditors, CPA's, and other Federal Agencies.
 - (2) Review of categorical grant programs and/or projects for the purpose of assessing implementation and effectiveness.
9. CONSIDERATIONS IN SELECTING AWARD INSTRUMENT (CONTRACT OR GRANT). LEAA accomplishes its missions to some extent through direct in-house activities but predominantly through non-Federal organizations, using either the contract or grant instrument as the means for defining the terms, conditions and the nature of the agreements between LEAA and the recipient. The two instruments are intended to be different in purpose and application, and, when properly employed, create different relationships between LEAA and the recipient. Because of the difference, the choice between using a contract or a grant in any given circumstances must be made carefully. The purpose of this paragraph is to provide policy on the general guidance on the considerations relevant to such choices.

a. APPLICABILITY. This policy applies to all programs in which the amount of the award, the decision to make the award, and the choice between using a contract or a grant as the award instrument are not defined by law, and are therefore within the administrative discretion of LEAA.

b. SELECTION CRITERIA

(1) Basic Criteria for Selection of Contracts. The contract is the appropriate instrument when:

- (a) The objective is the acquisition of a specific service or end product for the Government;
- (b) In order to accomplish its mission, LEAA must exercise direction and control over the manner of performance and timing of the work;
- (c) The specific requirement originates in LEAA or is legislatively mandated;
- (d) There is a need for strict accountability over the progress of the project, and a requirement for control over the final product.

(2) Mandatory Use of Contracts. Notwithstanding the foregoing, selection of contracts is mandatory whenever:

- (a) An award is to be made to a commercial (i.e., profit-making) organization; or
- (b) Payment of an amount in excess of actual costs (i.e., profit or fee) is intended.

(3) Basic Criteria for Selection of Grants. The grant is the appropriate instrument for providing support to an activity of the applicant which is in furtherance of a statutory purpose of the LEAA;

- (a) There is no expectation of a specific service or end product to be furnished to the Government as a QUID PRO QUO for Federal funds;
- (b) LEAA does not need to exercise considerable direction and control over the manner of performance or timing of the work, and therefore extensive freedom of approach in carrying out the purpose of the award is to be reserved to the grantee. The grant is conducted by the grantee's own autonomy;

- (c) Initiative for receipt of the grant rests with the applicant;
- (d) Rules, regulations, and special conditions are at a minimum;
- (e) The purpose of the project is broader than an immediate LEAA need. It may only be the acquisition of knowledge. It may have a very broad project aim.

c. DETERMINATION OF INSTRUMENT

The determination of whether or not to use a contract or grant rests with the program office which should apply the above guidelines. It is subject to general review by the Grants/Contract Review Board and/or the Administrator.

10. ELIGIBILITY FOR GRANTS. It is the policy of the Law Enforcement Assistance Administration that grants shall be made only to units of state or local government or private nonprofit organizations or individuals.

SECTION 3. REQUIRED DOCUMENTATION FOR FILES

11. DEVELOPMENT OF THE OFFICIAL FILE. This section concerns the establishment and use of the official grant file. Although there may be several files in the Agency, the "official file" is the accepted Agency file and is maintained in the Office of the Comptroller. The official file will be retired to Federal storage in accordance with established records retention requirements. The Control Desk (FMGAB) will establish and maintain the official files for all categorical applications and grants except for LEEP and Internships. The Office of Criminal Justice Education and Training (OCJET) will establish and maintain the official files for LEEP and Internships applications and grants. Refer to paragraph 11e and 11d for contents of LEEP and Internship grant files.

- a. Application. The official file must contain a copy of the following documents:
 - (1) Application Receipt Checklist.
 - (2) Original Grant Application.
 - (3) Acknowledgement Letter to Applicant.
 - (4) Budget Reviews.
 - (5) Financial Capability Request and Response.
 - (6) Transmittal Memo Requesting Review and Comment (SPA and

Program Offices).

- (7) SPA and A-95 Certifications and comments.
 - (8) Environmental and Relocation Statements, if applicable.
 - (9) Pre-Agreements Cost Memorandum, if applicable.
 - (10) Grant Manager's Memorandum.
 - (11) Suspension and Rejection letters, if applicable.
 - (12) Final Submission Checklist, LEAA Form 4560/5.
- b. Grant. The official file shall contain documentation of all significant actions having to do with the application and grant stages. The file shall contain a copy of the following:
- (1) Contents of application file (as defined in paragraph 11 (1) through 12).
 - (2) Copy of Grant Award (LEAA Form 4000/7 and 4000/7A) and Grant Transmittal Letter.
 - (3) Notifications of Grant-In-Aid Action (SF-424).
 - (4) Grant Project Summary (LEAA Form 4000/8).
 - (5) Grant Adjustment Notices (LEAA Form 4040/2) and all backup correspondence, i.e., letter requesting change, grant manager; letter, etc.
 - (6) Progress reports-originals (LEAA Form 4587/1).
 - (7) Financial Reports-(LEAA Form 7160/1 and 7160/3, if applicable).
 - (8) Miscellaneous correspondence concerning grant.
 - (9) Site visit reports (original).
 - (10) Correspondence concerning disputes and appeals.
 - (11) Formal letter of termination, if applicable.
 - (12) General Counsel opinions, if applicable.
 - (13) Final Products under Grant.

- (14) Disposition of Equipment Decision.
- (15) Grant Manager Assessment Report.
- (16) Evaluation Findings Summary, if applicable.
- (17) Notice of Record Retention to Grantee.
- (18) Close-Out Checklist.
- (19) Requests for Audit, if applicable.
- (20) Audit Report, if applicable.
- (21) Correspondence related to audit reports and resolution of audit findings, including final clearance memorandum.

c. Law Enforcement Education Program (LEEP) Grant File

- (1) Concept Paper.
- (2) Application (original).
- (3) Terms of Agreement.
- (4) Grant Award Document.
- (5) Grant Adjustment Notices and Backup Correspondence.
- (6) Miscellaneous correspondences concerning grant.
- (7) Financial Report(s).
- (8) Correspondence concerning disputes and appeals.
- (9) Formal Letter of termination.
- (10) Request for Audit.
- (11) Audit Report.
- (12) Correspondence related to audit report and resolution of audit findings, including final clearance memorandum.
- (13) General Counsel Opinions.

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d. Internship, (IN) Grant Files. The file should contain a copy of the following:

- (1) Concept Paper.
- (2) Institutional Application.
- (3) Student Application.
- (4) Grant Award Document.
- (5) Grant Adjustment Notices with backup correspondence.
- (6) Site Visit Reports.
- (7) Miscellaneous correspondence concerning grant.
- (8) Financial Report(s).
- (9) Correspondence concerning disputes and appeals.
- (10) Formal Letter of Termination.
- (11) Requests for Audit.
- (12) Audit Report.
- (13) Correspondence related to audit report and resolution of audit findings, including final clearance memorandum.
- (14) General Counsel Opinions.

12. ORGANIZATION AND STRUCTURE OF OFFICIAL GRANT FILE. The file format listed below can be used for all types of grants. The file system uses an eight sectioned folder.

- a. The grant number and name or location of the grantee/subgrantee are typed on a label and affixed to the upper left corner of the folder. These identification marks are visible even when the folder is closed and in the file cabinet.
- b. The first section contains pre-award documentation such as the application, application receipt checklist, and Standard Form 424 for notification relating to pre-award matters. Material is filed in ascending date order.
- c. The second section contains correspondence such as application acknowledgement letter, budget reviews and related application and

grant correspondence.

- d. The third section contains the signed accepted grant award, special conditions and project summary.
 - e. The fourth section contains all grant adjustments notices (with backup correspondence) to the grant filed in ascending numerical order.
 - f. The fifth section contains all H-1 reports (Financial Status Report) filed in ascending date order by quarter (1st qtr, 2nd qtr, etc.). The last item should be the final report.
 - g. The sixth section contains all H-3 reports filed in ascending date order by month or as submitted.
 - h. The seventh section contains all narrative progress reports filed in ascending date order by quarter (1st quarter, 2nd quarter, etc.). The last item should be the final progress reports.
 - i. The eighth and final section is used for close-out material such as the close out checklist memorandum and all close out documentation.
13. CONVERSION TO GRANT FILES. The application file becomes part of the official grant file at the time of award.
14. - 28. RESERVED.

CHAPTER 2. PREAPPLICATION/CONCEPT PAPER/OUTLINE

29. PREAPPLICATION ASSISTANCE. Preapplication assistance is encouraged between potential applicants and LEAA personnel engaged in the administration of LEAA grants. This provides an opportunity to expedite preparation and evaluation of application documents and disseminate information concerning LEAA needs and priorities regarding grant programs. Preapplication is the primary stage of the grant process in which LEAA counseling can significantly alter the nature of the project and better meet the goals of LEAA. Worthwhile projects should be encouraged and improved at this stage. Applicants with projects of little or no value should be discouraged.

a. Preapplication for Federal Assistance Form (Standard Form 424). This form shall be used to:

- (1) Establish communication between LEAA and the applicant;
- (2) Determine the applicants eligibility;
- (3) Determine how well the project can compete with similar applications from others; and
- (4) Eliminate any projects which have little or no chance of LEAA funding before the applicant incurs significant expenditures for preparing an application.

b. Requirement. Preapplication forms shall be required for all construction grants for which the need for LEAA funding exceeds \$100,000, and for those programs which mandate the use of the preapplications process in the program announcement.

c. Clearinghouse Review. The preapplication submittal may be used as the document for A-95 project notification to State and area-wide clearinghouse for LEAA grant programs subject to such review. Refer to Chapter 3 paragraph 43b for a list of programs subject to such review.

30. CONCEPT PAPERS Preparation of a preapplication involves considerable investment of the applicant's time and effort, while processing and reviewing such an application by LEAA demands a comparable amount of attention. Therefore, some LEAA offices prefer that applicants first submit a short concept paper or prospectus, so that a prompt response to the proposed study can be made and unnecessary effort on the part of both applicant and the agency can be avoided. The concept paper, which should discuss the need for the project, the project's goals, scope, and estimated cost, the applicant's qualifications, and the time necessary to complete the project, will also provide a basis

for preliminary development of worthwhile projects through advice and counsel. Concept papers shall be processed in accordance with the requirements outlined in paragraph 32b.

31. ALTERNATIVE PREAPPLICATION PROCEDURES. LEAA offices may also employ the following as alternatives or supplements to the concept paper:

- a. Informal Assistance. Appropriate LEAA programmatic personnel are encouraged to offer advice on the advisability of making formal application and on project development in their informal conversation with the applicant.
- b. Outline. Section 1 of Standard Form 424, "Application for Federal Assistance", (Appendix 2) may be used as a face sheet for the outline. An outline which includes the following may be reviewed by certain program offices before formal application:
 - (1) Project goals and methods of attaining those goals.
 - (2) Relationship to LEAA's objectives.
 - (3) Program plan under which support is sought.

32. SUBMISSION AND PROCESSING

a. Preapplication

- (1) The applicant shall submit a preapplication to the cognizant program office.
- (2) The program office shall, within 45 days of receipt of the formal preapplication, notify the applicant of LEAA's interest (positive or negative) in the project.
- (3) A copy of the preapplication should be made part of the official application file when the preapplication results in the submission of a formal application.

b. Concept Paper and Outline

- (1) The applicant should submit a concept paper or outline to the cognizant program office.
- (2) The program office should make every effort to notify the applicant, within 45 days of receipt of concept paper or outline, of LEAA's interest (positive or negative) in the project.

33-37 RESERVED

CHAPTER 3. APPLICATION RECEIPT, REVIEW AND ADMINISTRATION

SECTION 1: GENERAL

38. PURPOSE. Application submission and processing involves all formal procedures necessary for LEAA to review and award a grant. Objectives are:
- a. To gather and maintain information necessary for effective grants administration both in this stage and in subsequent project operation; and
 - b. To provide a means for thorough and efficient review of the grant application and proper determination of whether the application should be approved or disapproved and, if approved, whether special conditions should be attached.
39. JOINTLY FUNDED APPLICATION. The Integrated Grant Administration program (IGA) enables public agencies to submit a single application to a Federal agency for support from more than one Federal grant program. The application is processed by a task force consisting of members of both Federal and State participating agencies under the auspices of a lead agency which administers the grant.
- a. LEAA as lead agency will:
 - (1) Process application in accordance with Chapter 3.
 - (2) Coordinate with members of participating agencies in review and final action on application.
 - b. LEAA as non-lead agency will: Participate in review of application and effect necessary actions for transfer of LEAA funds to lead agency via an interagency agreement.

SECTION 2: APPLICATION FORMS AND SUBMISSION

40. STANDARD APPLICATION FORMS.
- a. Standard Form 424, (4000/3) "Application for Federal Assistance (Non-construction Programs)", should be used in the preparation of formal applications for non-construction projects. (See Appendix 2). This form does not apply to LEEP and Internship applications.
 - b. Standard Form 424 (4000/4) "Application for Federal Assistance (Construction)", should be used in the preparation of formal applications for construction projects. (See Appendix 3)

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- (1) If parts of SF 424 or LEAA Form 4000/4 seem inappropriate for a specific project, the applicant should seek guidance from the grant manager or, if appropriate, from the State Planning Agency.
- (2) Additional information may be required for specific grants. This should be added to the standard information required by SF 424.
- (3) All applicants for Part E discretionary funds for purposes of construction or renovation of juvenile or adult correctional institutions MUST follow the procedures outlined in the effective edition of Guideline Manual M4500.1 .
- (4) The Small State Supplemental Allocation Program is exempted from the use of SF 424 and LEAA Form 4000/3, since application for projects under this program is included in the State's annual comprehensive plan.

c. LEEP-1 Form. "LEEP Institutional Application" shall be used by all institutions applying for LEEP funds. Instructions for the preparation of this application are found in the effective edition of Guideline Manual for Law Enforcement Education Program, M 5200.1.

d. LEAA Form 5500/.1. "LEAA Internship Program - Institutional Application for Funds" shall be used by all institutions applying for internship awards. Instructions for the preparation of this application are found in the effective edition of Guideline Manual for Participation Criteria for Internship Program, M 5500.1.

41. PREPARATION OF STANDARD FORM 424 APPLICATIONS. Detailed instructions for preparing applications are contained in the effective edition of Guideline Manual M 4500.1, Guide for Discretionary Grants Programs.

42. APPLICATION REQUIREMENTS AND SUBMISSION.

a. Consultation and Participation with State Planning Agencies.

- (1) Grant Managers should encourage the applicant to consult with the State Planning Agency of their State before submitting an application for funds (refer to effective edition of M4500.1 for the names and addresses of State Planning Agencies). Applicants should review the most recent State Comprehensive Plan produced by the State Planning Agency and request a conference with the SPA to discuss the proposed project. The conference should also

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include the applicant, relevant personnel from LEAA, and if applicable, regional and/or local planning unit representatives.

- (2) When an application is submitted to LEAA for consideration, it must be submitted at the same time to the appropriate State Planning Agency for review and comment. (This requirement applies to all LEAA programs/projects except those which are specifically exempted from this procedure).

SECTION 3: APPLICATION PROCESSING

43. APPLICATION RECEIPT AND REVIEW

a. Receipt, Logging and Initial Review by FMGAB

- (1) Receives, dates and time stamps Federal Assistance Application: (LEAA Form SF 424). For purposes of the Application Cycle (90-day rule), the date of a grant application is the date an application is received and date stamped. The first day of the 90-day period usually will coincide with the date shown on the date stamp affixed to a grant application. For all application in programs utilizing the Panel Review Process, the first day of the 90-day period will begin on the submission deadline date for that program. Grant applications received by program Offices will be forwarded immediately to FMGAB to insure timely entry into the 90-day procedure. (See paragraph 45 for 90-day rule details.)
- (2) Logs and performs initial review as to eligibility for federal funding; appropriate application form; required signatures; timely submission; compliance with A-95, Environmental Impact, Civil Rights, Affirmative Action, Historic Site, Relocation Assistance, National Clearinghouse of Criminal Justice Planning and Architecture and, if required, transmits a copy to OOS for review by the Department of State.
- (3) Assigns official application number, enters on Grant Application Register, and prepares application Master File Folder (official file) to be retained in FMGAB. Inputs receipt date, application number, applicant name, title of project, and amount of funds to PROFILE. Officially enters the application into the PROFILE Grants Management Information Tracking System and starts the 90-day clock.

- (4) Prepares written acknowledgement letter to applicant noting any deficiencies found in the initial review. If the applicant is a non-profit organization, which has never received an LEAA grant, FMGAB includes in the acknowledgement letter a financial questionnaire for the applicant to complete, requesting the form be returned to FMGAB. Upon the return of the completed questionnaire, FMGAB forwards the questionnaire to OAI for their use in determining the financial capability of the applicant. The financial capability response from OAI is reported to FMGAB for use by the grants management specialist, FMGAB, and the grant manager in recommending final action on applications and for inclusion in the pre-award package.
- (5) The only exception to paragraphs 45a (3) and (4) above is when an unsigned application is received. Acknowledgement of application is made by letter returning application. Upon receipt of signed application, the process in paragraph 45a (3) and (4) occurs.
- (6) Determines responsible program office, prepares Grant Application Status Form (LEAA Form 4020/1) and hand carries original and one copy (blue) with the application to the program office for review. (For a sample of LEAA Form 4020/1, see Appendix 1.) Also transmits a "Quick Look Memorandum," with the application for weekly review by the Administration.

44. NOTIFICATION, CERTIFICATION AND RECEIPT.

- a. A-95 Clearinghouse Notification. GMB Circular A-95 provides procedures for coordinating Federally assisted programs and projects with each other and with state, regional and local plans and programs. Applicants of categorical grants which fall under any of the following programs must notify the appropriate areawide AND State Clearinghouse and shall use Section II, SF 424, item 22b, to report on major action taken on applications by the State and areawide clearinghouse in accordance with A-95 procedures.

- (1) The following LEAA grant programs are SUBJECT to Areawide and State Clearinghouse Reviews:
 - (a) Comprehensive Planning Grants.
 - (b) Block Action Grants.
 - (c) Discretionary Grants.
 - (d) Criminal Justice Systems and Telecommunications Development.

- (e) Juvenile Justice - Special Emphasis.
- (f) Juvenile Justice - Formula Grants.
- (2) The following LEAA grant programs are NOT subject to Areawide and State Clearinghouse Reviews:
 - (a) Law Enforcement Education Program and Internships Grants.
 - (b) Research and Development Grants.
 - (c) Technical Assistance Grants.
 - (d) Community Anti-Crime Grants.
 - (e) Training Grants.
 - (f) Federally Recognized Tribes. Such tribes are not subject to A-95 requirements but are encouraged to voluntarily participate in the A-95 Project Notification and Review System. LEAA shall notify the appropriate State and area-wide clearinghouses upon receipt of an application from a Federally recognized Indian Tribe.
- (3) The clearinghouses will review the application and must inform the applicant that they have identified any problems which need resolution or that they have found no problems and further review will not be required. The applicant must submit any comments made by or through the clearinghouses before award with evidence that it has undergone A-95 review by both area-wide and State clearinghouses. For additional information on clearinghouse procedures refer to OMB Circular A-95 and 28C.F.R.30.

b. SPA Certification

- (1) The State Planning Agency has thirty days from the receipt of the application to submit its comments to LEAA. It is not required to provide Certification at this time, although the SPA may if it wished (Certification is required before grant award, if the grant is awarded to the SPA). The SPA should provide LEAA with its comments regarding the desirability and feasibility of the proposed project. If no comments are received within 30 days, LEAA will assume the SPA has no major objections to the proposed project.
- (2) If the award is made to the State Planning Agency, the State Planning Agency will in turn subgrant to the applicant and must certify that it is willing to administer the grant and that:

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- (a) The proposed is not inconsistent with the overall goals and general thrust of the State Comprehensive Plan;
 - (b) The project, if approved, will be accounted for as an element of the State's multi-year and annual action plan;
 - (c) Block grant allocations to the grantee agency, unit of government, or region will not be reduced by virtue of the discretionary award; and
 - (d) The State Planning Agency will assist the subgrantee to obtain incorporation of the project's continuation costs in State or Local budgets, if the project is successful.
- (3) If the State Planning Agency declines to accept the award, LEAA may award the grant directly to the applicant, but only after consulting with the State Planning Agency.
 - (4) A suggested format for SPA certification can be found in the effective edition of the Guide for Discretionary Grant program M 4500.1.
- c. Application Receipt. Grant applications, original and two copies, shall be sent to the following address:

Financial Management and Grants Administration
 Branch (FMGAB)
 Grants and Contracts Management Division (GCMD)
 Office of the Comptroller (OC)
 Law Enforcement Assistance Administration (LEAA)
 633 Indiana Avenue, N.W.
 Washington, D.C. 20531

45. NINETY (90) DAY APPLICATION CYCLE (RULE). The 90-day rule is an administrative procedure that requires LEAA to take final action on a formal grant application within 90 CALENDAR DAYS after receipt of the application by LEAA. For purposes of this directive, final action is defined as approval, rejection or withdrawal. During the 90-day cycle a number of problems could delay final action on an application. Until these problems are addressed, and/or resolved, the application is either suspended or rejected. The process and criteria for each of these are:
- a. Suspension. Administration of the 90-day rule is assigned to Office Heads and monitoring the 90-day rule is assigned to the Office of the Comptroller. In those instances wherein applications are suspended, the applicant must be notified by a letter from the program office of the reason for the suspension.

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- (1) The running of the 90-day time period shall be suspended for periods of time during which the grant application's deficiencies are being resolved. Reasons for suspension would include legal, programmatic, financial or administrative deficiencies.
 - (2) Where suspension letters are utilized, the applicant should be informed that until the required information is received, no further processing can occur and the LEAA processing cycle is stopped. Suspension letters should be utilized as soon as possible in the processing cycle and signed by the applicable Office Head. A copy of the suspension letter must be forwarded to FMGAB for the official file and for authorization to input the information into PROFILE.
 - (3) Upon receipt of the required information from the applicant, the LEAA processing cycle is restarted and the review of the application is resumed.
- b. Rejection. If a grant manager determines that a grant application should not be approved, he/she must prepare a letter of rejection.
- (1) The rejection letter shall be signed by the Office Head and sent to the applicant. A copy of the rejection letter must be forwarded to FMGAB for the official file and for authorization to input the rejection information into PROFILE. If the application has been packaged for award, the package should be included with FMGAB's copy of the rejection letter. A copy of the rejection letter will also be sent to the SPA by FMGAB.
 - (2) In rejecting an application, it is important that the applicant be informed of the reasons for rejecting the application.
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. The following points should be considered in the preparation of a rejection letter:
 - (a) The reasons and criteria which are the basis for the rejection must be clearly articulated.
 - (b) Procedural deficiencies as well as substantive inadequacies must be addressed. Failure to submit an

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application or to adhere to LEAA guideline procedures must be outlined in the rejection letter.

- (c) The evaluation criteria must be equally applied to all competitive grant applications.
- (d) The stated reasons must be supported by documentation in the grant file.
- (e) Standardized reasons or letters should be avoided.
- (f) Overly broad and general reasons should be avoided.
- (g) The only reasons communicated to the applicant should be those which are contained in the rejection letter. Oral communication regarding the rejection must be avoided. Furthermore, the only response that must be given to an application under review is "review in progress."
- (h) The rejection letter should be prepared for the signature of the applicable Office Head by the grant manager.
- (i) Rejection letters should be used as soon as possible within the processing cycle.

SECTION 4: APPLICATION REVIEW

46. PROGRAM OFFICE PRELIMINARY REVIEW. Upon receipt of the Grant Application Status Form (LEAA FORM 4020/1) and the grant application, the program office must take the following actions:
- a. Grant Manager Assignment. The cognizant program office MUST ENSURE that each grant application is assigned to a grant manager and processed in accordance with its office procedures. The grant manager must review the application to determine whether it will be rejected or considered in depth for funding.
 - b. Grant Application Status Form. The grant manager MUST return a copy of the completed LEAA Form 4020/1 to FMGAB WITHIN FIVE (5) WORK DAYS following receipt from FMGAB in order to:
 - (1) Request a financial review of the applicant's grant budget, if the applicant is being considered for "funding" or to notify FMGAB that a financial review is not required. This information should be noted in block #14 of the form.

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- (2) State no budget review is requested, and the application will be either suspended or rejected and a letter to the applicant is being prepared.
 - (3) Record the grant manager's recommendation as to whether or not a new grantee should be put on letter of credit. (Grant applicants can request to be placed on letter of credit when their annual advances from all Title 1 awards will be at least \$120,000 and there will be a continuing relationship of at least one year). The grant manager's statement should be entered in the "Comments" section of the form. A negative recommendation must have supporting justification. This justification should be attached to the Grant Application Status Form. If justification is to be submitted later, it should be prepared in memorandum form and submitted no later than 10 working days after initial receipt of the LEAA Form 4020/1.
 - (4) Request FMGAB to forward the application to any office not listed in block #18 of the Form 4020/1 for comments.
- c. FMGAB Processing of Grant Application Status Form. Upon receipt of LEAA Form 4020/1 by FMGAB advising that the application is being considered for funding, the following procedures are performed:
- (1) FMGAB sends a copy of each application to other appropriate LEAA offices, as applicable, for information and comments. Comments shall be submitted, in writing, to the grant manager, and a copy to FMGAB WITHIN THIRTY (30) CALENDAR DAYS.
 - (2) In addition, FMGAB sends a copy of all applications to the cognizant SPA for their review and comments. If applicant has submitted a copy of the application simultaneously to SPA, a letter will be sent to SPA by FMGAB requesting comments. Comments should be submitted to FMGAB WITHIN THIRTY (30) CALENDAR DAYS.
 - (3) Initiates a financial review of the the grant application.
47. GRANT MANAGERS REVIEW. Prior to funding, all grant applications must be reviewed for technical merit, and the likelihood of accomplishing LEAA goals. While it is possible to provide techniques for reviewing applications, it is not feasible to provide guidelines that can substitute for good judgement. The grant manager reviewing a proposal should

be equipped with the technical and administrative qualifications and experience needed to act in the best interest of LEAA. When a grant manager does not possess the specific technical qualifications and/or experience necessary for a complete technical review, it is essential that the grant manager obtain assistance from other LEAA staff having experience in the subject area.

- a. Narrative Statement Review. The narrative statement in the grant application serves as the applicant's performance commitment of work plan for the project and should include chronologically the milestones in the project for which grant assistance is being requested. Each condition, accomplishment, milestone and goal set as a target should be labeled to identify the task, ongoing effort, or cost segment that will produce it. A milestone will be given a time frame which will become a self-imposed target equaling elapsed time with an estimated task or level of accomplishment.
- b. Agreement. It is important that the grant manager and the applicant be in agreement on the elements of a narrative statement. The grant manager should expect the narrative format to be consistent with a conventional workplan. The grant manager must be sure that the narrative statement clearly and accurately describes the proposed scope of work.
- c. Requirement. Whatever the complexity and scope of the Grant Project Narrative Statement, the grant manager must assure that it expresses as accurately as possible what will be done under the grant; when it will be accomplished; the steps toward the set goals and their sequence and intervals; who will perform them; performance capability of the applicant; and their estimated cost.
- d. Specificity of Objectives. The grant manager must be able to define major objectives and sub-objectives of the application and then assess the merit of the application in view of LEAA resources to accomplish LEAA goals.
- e. Grant Manager's Memorandum. The Grant Manager shall prepare a Grant Manager's Memorandum according to the standard format and minimum criteria provided in Appendix 4. Any comments received from the state and local A-95 clearinghouses, SPAs and other LEAA offices must be referenced. Purpose of the Grant Manager's Memorandum is to highlight strengths (and weaknesses) of the application; to reveal gaps between project objectives and intended activities; to clarify and define a strategy for meeting project

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objectives; to identify best management approaches; and to insure proper use of Federal funds.

SECTION 5: SPECIAL REQUIREMENTS

48. REQUIREMENTS OF OTHER FEDERAL LEGISLATION AND REGULATIONS. LEAA is required to insure that ALL categorical grants meet certain administrative and legal requirements imposed by other laws and administrative issuances. Therefore, the grant manager must insure that the following requirements are met:
- a. Clean Air Act Violations. In accordance with the provisions of the Clean Air Act (42 U.S.C. 1857) as amended by Public Law 92-500 and Executive Order 11738, grants, subgrants or contracts cannot be entered into, reviewed or extended with parties convicted of offenses under these laws.
 - b. Relocation Provisions. In accordance with provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, P.L. 91-646, 84 Stat. 1894, and the regulations of the Department of Justice (effective edition of LEAA Guideline G 4061.1, Relocation Assistance and Payments):
 - (1) The applicant and State Planning Agency shall assure that any program under which LEAA financial assistance is to be used to pay all or part of the cost of any program or project which results in displacement of any individual family, business and/or farm shall provide that:
 - (a) Within a reasonable period of time prior to displacement comparable decent, safe, and sanitary replacement dwellings will be available to displaced persons in accordance with such regulations as issued by the Attorney General;
 - (b) Fair and reasonable relocation payments and assistance shall be provided to or for displaced persons as are required in such regulations as are issued by the Attorney General;
 - (c) Relocation or assistance programs shall be provided for such persons in accordance with such regulations issued by the Attorney General;
 - (d) The affected persons will be adequately informed of the

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available benefits and policies and procedures relating to the payment of monetary benefits.

- (2) Such assurances shall be accompanied by an analysis of the relocation problems involved and a specific plan to resolve such problems.

c. Environmental Impact.

- (1) The National Environmental Policy Act of 1969 established environmental review procedures to determine if a proposed LEAA funded program or project is a "major Federal action significantly affecting the human environment." Each proposed action listed below must include an environmental evaluation.
 - (a) New construction.
 - (b) The renovation or modification of a facility which leads to an increased occupancy of more than 25 persons.
 - (c) The implementation of programs involving the use of pesticides and other harmful chemicals.
 - (d) The implementation of programs involving harmful radiation (x-rays, etc.).
 - (e) Research and technology whose anticipated or intended future application could be expected to have a potential effect on the environment.
 - (f) Other actions determined by the Administrator to possibly have a significant effect on the quality of the environment.
- (2) A determination shall thereafter be made by the responsible Federal official as to whether the action will have a significant effect on the environment requiring the preparation of an environmental analysis (draft environmental impact statement) or whether a negative declaration can be filed.
- (3) An environmental evaluation is a report of the environmental effects of the proposal and should consist of questions and narrative answers as well as supporting documentation that substantiates conclusions (see Appendix 20).

- (4) An environmental analysis must be submitted with the original application in cases where the proposed action would significantly affect the environment. It will be utilized in the preparation of a draft environmental impact statement.
 - (5) A negative declaration (see Appendix 21) will be filed by the LEAA Office Head if the environmental evaluation does not indicate a significant environmental impact.
- d. Historic Sites. Before approving grants involving construction, renovation, purchasing or leasing of facilities the cognizant LEAA Program Office shall consult with the State Liaison Officer for Historic Preservation to determine if the undertaking may have an effect on properties listed in the National Register of Historic Places. If the undertaking may have an effect on the listed program properties, the cognizant LEAA Program Office shall notify the Advisory Council on Historic Preservation.
 - e. Flood Disaster Protection. In accord with Section 202(a) of the Flood Disaster Protection Act of 1973, no Federal agency may approve any financial assistance for construction purposes after July 1, 1975, for use in any area identified by the Secretary of the Department of Housing and Urban Development (HUD) as an area having special flood hazards unless the community in the hazardous area is then participating in the National Flood Insurance Program.
 - f. Rehabilitation. In accordance with the Rehabilitation Act of 1973 (P.L. 93-112), no otherwise qualified handicapped individual in the United States, as defined in Section 7 (5) of that Act, shall, solely by reason of his handicap, be excluded from the participation, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
49. ADDITIONAL REVIEW REQUIREMENTS. In reviewing an application and packaging it for award, the following requirements must be considered by the grant manager.
- a. Review and Comments by Other LEAA Offices.
 - (1) Office of Civil Rights Compliance shall receive from FMGAB, for their review and comments, a copy of all applications in excess of \$250,000.
 - (2) Office of Criminal Justice Education and Training shall

receive from the grant manager, for review and comment, a copy of all applications containing education and training activities designed to improve, upgrade, or develop human resources for the operation of the criminal justice system.

- (3) Reference and Dissemination Division, NILECJ, shall receive for their review and comments, a copy of all applications for clearinghouse and/or reference service activities from the grant manager. These activities are defined as activities associated with the collection of data/information, its processing (includes classifying and indexing), storage and retrieval and its subsequent dissemination--both manual and automated activities. (See LEAA Instruction on subject)
- (4) Other applicable LEAA offices should receive for their review and comment, a copy of an application within their area of expertise from the grant manager, e.g., NILECJ, Police Division, receiving application for review from OCJP, Police Division.
- (5) The grant manager shall consider all comments received from review offices (items (1) - (4) above) in their recommendation for final action. A copy of all comments shall be included as part of the pre-award package. Non-acceptance of comments from review offices must be justified in the Grant Manager's Memorandum.

b. Part E Requirement. Section 453 of Part E of the Crime Control and Safe Streets Act, as amended, required applications for Part E funds (block or discretionary) to provide for "advanced techniques in the design of institutions and facilities." As a result, all Part E applications for the construction or renovation of adult or juvenile correctional facilities must be certified by LEAA as being in compliance with these special requirements prior to award, and are, therefore, subject to the following review and certification procedures.

- (1) Request for Review and Certification. All such requests must be initiated by the applicant. They must be in writing and directed to the Office of Criminal Justice Programs of LEAA, with a copy to the appropriate SPA. Relevant documents (including but not necessarily limited to, the grant application and architectural drawings) must be submitted with the letter formally requesting review and certification.

(2) Review Process.

- (a) The LEAA Office of Criminal Justice Programs shall be responsible for managing the review and certification process. OCJP may, as necessary, utilize the assistance of one or more contractors in ascertaining architectural and programmatic compliance with the Part E provisions.
- (b) OCJP shall forward applicant requests for review and certification to the appropriate contractor, and shall provide the contractor with necessary instructions, including but not necessarily limited to, the date by which the contractor must submit a report to LEAA. A copy of relevant correspondence with the contractor shall be provided by LEAA to the applicant and the SPA.
- (c) As part of the review process, the contractor may, as needed, communicate directly with the applicant in order to gather additional information, resolve ambiguities, and negotiate possible changes. The contractor shall keep both LEAA and the SPA fully apprised of such communications. Although the contractor may suggest modifications in order to meet Part E requirements, it should be clear that such suggestions are advisory only, and that LEAA alone has the authority to make a determination in regard to compliance.
- (d) At the end of its review, the contractor shall advise LEAA in writing as to its findings and recommendations.
- (e) The LEAA Office of Criminal Justice Programs shall consider the advice of the contractor and shall provide the applicant and the SPA a copy of the contractor's findings and recommendations.
- (f) OCJP shall negotiate any objections by the applicant to the report of the contractor. Resolution of differences that do not require the waiver of LEAA architectural standards is within the authority of the appropriate Division Heads of OCJP.
- (g) Resolution of differences that require the waiver of LEAA architectural standards is within the authority of the Head of the Office of Criminal Justice Programs.

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Such waiver must be fully documented within the official grant files, with copies provided to the applicant and the SPA.

- (h) Final responsibility for certifying an application as in compliance shall rest with LEAA's Office of Criminal Justice Programs, subject to normal appeals procedures.

- (3) Basis of Review. The intent of the Part E amendment is to encourage advanced practices in corrections. As a result, applications for Part E funds to support construction or renovation projects are reviewed for adherence with minimum program and facility standards as set forth in current LEAA Guidelines. These Guidelines generally embrace the results of the standard setting, testing and validation efforts of professional associations, as well as the research of the National Clearinghouse for Criminal Justice Planning and Architecture.
- c. Equal Employment Opportunity Program. For those grants for which the award of funds is for \$250,000 or more, the grant manager shall obtain from the recipient a copy of its criminal justice agency's current Equal Employment Opportunity Program. This document shall be forwarded to the Office of Civil Rights Compliance.
- d. Privacy Certificate. Grant Manager will obtain privacy certificate (see Appendix 24 for sample) from those applicants for research and statistical projects which conform with 28 C.F.R. 22.
- e. Additional Grants Requirements. Refer to chapter 4, section 5 for additional grant requirements that must be considered in the review of applications.

SECTION 6: FINANCIAL ANALYSIS

- 50. FINANCIAL ANALYSIS. It is LEAA policy to provide assurance that grant awards (including sub-grants) are fair and reasonable amounts; and are made only to grantees or sub-grantees or contractors that have the financial management capability and the fiscal capacity necessary to adequately and appropriately administer the Federal funds involved.
- a. Budget Review/Cost Analysis. This is a process performed by the Grants Management Specialist, FMGAB, of examining, verifying and evaluating application cost and budget data and the judgemental factors applied in projecting from the basic cost data to a reasonable estimated price that will be representative of the total cost of performance of the grant.

- b. Budget Review Objectives. The objective of the budget review is to determine that:
- (1) The grantee has the financial capability, accounting system, and management resources to adequately account for and safeguard Federal funds.
 - (2) Costs proposed for the application are allowable, reasonable and fair.
- c. Financial/Capability Review. Applications submitted by applicants which have not previously been awarded grant by LEAA shall receive a Financial Questionnaire to be completed by the applicant and returned to FMGAB. This questionnaire shall be forwarded by FMGAB with the acknowledgement letter. When the application is received by the Grants Management Specialist, FMGAB, this person will initiate a memorandum to the Office of Audit and Investigation requesting this office to proceed with the financial integrity review. Office of Audit and Investigation has 45 calendar days to complete the financial integrity review and forward the results to the Grants Management Specialist, FMGAB, who must incorporate the results of the financial integrity review into the grant pre-award package. This procedure shall be initiated by the Grants Management Specialist, FMGAB, for any application which in this persons judgement requires a financial integrity check.
- d. Review and Approval. Budget reviews for grants are initiated by the grant manager by annotating block 14 of the Grant Application Status Form, LEAA Form 4020/1. It is the responsibility of the Grant Management Specialist, FMGAB, to perform the budget review and, in conjunction with the grant manager, negotiate the budget review findings with the applicant. Differences of opinion between the grant manager and the Grant Management Specialist, FMGAB, regarding the budget or other findings must be resolved prior to forwarding the application package for approval. As part of the budget review, the Grant Management Specialist, FMGAB, shall make a recommendation regarding the allowability and reasonableness of the costs of the application and the fiscal integrity of the applicant.
- e. Special Grantees. The great majority of LEAA grantees are competent and responsible, and fully committed to achieving the objectives of the grants they receive. Experience has shown, however, that a minority of grantees create potential problems for LEAA with respect to its responsibilities for assuring proper programmatic use and financial stewardship for grant funds. This paragraph gives procedures for identifying and dealing with special grantees.

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- (1) Identification of Special Applicants. Generally no one factor or set of factors alone can or should be sufficient cause for deciding on a "special" classification. Further, no one particular type or kind of organization or grant automatically warrants a "special" classification, although experience has shown only too well that certain categories of grantees do tend to create situations that are more risky than others. Whether made for an individual grantee or for a group of grantees, a classification of special should be based on objective criteria "tempered" by subjective judgements. Usually, the existence of a problem situation becomes known after an award. However, every effort should be made to identify situations before award, since the problem can be dealt with more effectively at that time than later. Information useful in identifying special grantees is available from several sources:
 - (a) Representations made by the applicant prior to award, as is the grant application, during preaward reviews, and site visits, or in the course of negotiating the grant.
 - (b) GAO or LEAA Audit Agency reports, and reports of the applicants own auditors.
 - (c) Previous experience with the applicant either in the same program or other programs.
 - (d) Analysis of the applicants financial statements performed as a part of the indirect cost rate process.
- (2) Indicators of potential problems. The following tend to indicate potential problems:
 - (a) Poor financial stability (insolvency or threat of insolvency).
 - (b) Inexperience such as may occur in newly formed organizations or in those which have not previously received a Federal grant.
 - (c) Financial dependence on Federal support (70/80% or more of the organization's revenue is expected to be derived from Federal awards in the forthcoming year).

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- (d) Serious deficiencies in program or business management systems (substantial failure to comply with financial/grant management standards or procurement standards).
 - (e) History of unsatisfactory performance, violations of terms and conditions of the grant, or large cost disallowance on previous awards from LEAA or other Federal programs.
- (3) Decisions in Special Applicant Situations. To minimize special situations, there are two principal options available to minimize the special situations after a determination that a prospective grantee is a "special situation."
- (a) Not to Make a Grant. A grant should not be made if the nature and extent of the situation are so serious that poor performance by the grantee is probable. If the proposed project is sufficiently meritorious and has been approved, a decision not to make a grant on the premise that the organization is special situation implies a decision that LEAA's interest cannot be adequately protected.
 - (b) Special Protective Conditions and Monitoring Techniques. Specific special protective conditions or monitoring techniques to be used depends on the nature and extent of the situation. Special conditions are deviations from LEAA rules which may be used only when authorized by the Office of the Comptroller and the program office head.
- (4) Notification. The Grants Management Specialist, FMGAB, shall indicate in the Final Financial Clearance Memorandum that the applicant is of a special situation nature. This information must be brought to the attention of the Grants/Contracts Action Board or the Administration by the grant manager.

SECTION 7: APPLICATION PACKAGING AND PROCESSING

51. PRE-AWARD PACKAGING.

- a. It is LEAA policy to decide whether to award or reject grants within the shortest possible time-frame of receipt of the application. In order for LEAA to comply with this provision, the following requirements have been established.

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- (1) All programmatic and financial issues shall be resolved and the application package forwarded by the grant manager to FMGAB within SEVENTY (70) CALENDAR DAYS after LEAA has received an official application. This will give the Administration, FMGAB, and the Congressional Liaison/Public Information Offices time to review, approve, and publicize the award of approved applications.
- (2) The application package recommended for award must be sent to FMGAB prior to submission to the Administration or appropriate Office Head for approval. Application packages shall contain:
 - (a) Grant Award Document. Form LEAA 4000/7 shall be prepared (items 1-14). Refer to Appendix 5 for three sample grant awards.
 - (b) Special Conditions. Special requirements placed on a grantee which are not included in our guidelines shall be specified on Form LEAA 4000/7. Refer to Appendix 6 for sample of form.
 - (c) Grant Manager's Memorandum. The Grant Manager shall prepare a Grant Manager's Memorandum according to the standard format and minimum criteria provided in Appendix 4. Any comments received from the State and local A-95 clearinghouses, SPAs and other LEAA offices must be referenced.
 - (d) Office Head Certification. Refer to Appendix 22 for sample.
 - (e) Comptroller's Certification. Refer to Appendix 23 for sample.
 - (f) Grant Project Summary. Form 4000/8 shall be prepared (Items 1-11).
 - (g) Final Financial Clearance/Budget Review Memorandum. Memorandums from Grants Management Specialist, FMGAB, concerning financial review of grant. This Memorandum shall contain a recommendation for or against funding the application along with any recommended action regarding financial management and grant administration.

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- (h) Preagreement Cost Approval (If applicable). Preagreement costs are those incurred prior to the first day of the official grant period of the grant. These costs must be incurred pursuant to the negotiation and in anticipation of the award of the grant where such incurrence is necessary to comply with the proposed delivery schedule or period of performance and are specifically identified in the application. These costs are allowable only to the extent that they would have been allowable if incurred during the grant period of the award and only with the prior approval of LEAA.
- 1 Authority to review and approve preagreement costs is delegated to the Comptroller in accordance with paragraphs 3 below. Reimbursement of these costs is contingent upon the award of the grant.
- 2 It is the policy of LEAA to discourage pre-agreement costs.
- 3 Pre-agreement costs will not be considered unless the application (original or continuation) in which such costs are requested, is received by LEAA at least ninety (90) days prior to the anticipated beginning date of the grant period. Grant applications received LESS than ninety (90) days prior to the anticipated beginning date of the grant period will require the negotiation of a new beginning date. After notification by FMGAB that the receipt date is less than ninety (90) days prior to the anticipated beginning date, the responsible grant manager will negotiate a new beginning date allowing LEAA at least ninety (90) days to process the grant application. Any deviations from this policy must be approved by the Administrator with the recommendation of the Comptroller.
- (i) The grant application (latest revised copy).
- (j) Other program office(s), and SPA comments, if received.
- (k) A-95 Certificate, if required, and SPA Certification, if required.

52. FINAL CLEARANCE.

- a. Program Office Head. The grant manager shall forward the pre-award application package to the program office head for review and approval. If the program office head concurs with the recommendation of the grant manager, this person shall complete and sign the Office Head Certification (Appendix 22). After concurrence is obtained from the program office head, the application package must be handcarried to FMGAB for final administrative review and Comptroller certification.
- b. Administrative Review. FMGAB shall perform an administrative review of the application package to assure compliance with regulatory and LEAA administration requirements. Upon completion of this review, one of the following actions occurs.
 - (1) If there is missing documentation, a request shall be made to the grant manager to provide the missing material.
 - (2) The application package is returned to the grant manager for resolution of the problems noted by FMGAB.
- c. Comptroller Certification. Upon completion of the FMGAB administrative review, the pre-award binder is certified by the Comptroller to assure the pre-award binder conforms with agency policy and procedures over which the Comptroller has delegated authority or responsibility. If the Comptroller is unable or unwilling to certify the pre-award binder, it will be returned to the cognizant office head for resolution of any problem(s) noted by the Comptroller. Pre-award binders that are not certified by the Comptroller shall not be forwarded to the Grant Contract Review Board or the Administration, whichever is appropriate.
- d. Post Certification Sequencing. Selection and sequencing of pre-award binders for review and/or approval is performed by OPM. Two full work days are required by FMGAB to clear the pre-award binder prior to submission of the GCAB meeting. This clearance includes administrative review and Comptroller certification.
- e. Forwarding Pre-Award Binders.
 - (1) Applications in excess of \$300,000 or any application designated by the Administration shall be forwarded to the Grant

Contract Action Board.

- (2) Applications of \$300,000 or less shall be forwarded directly to the Administration.
- (3) Applications shall be forwarded to the cognizant office head for signature in those instances wherein signature authority is delegated to the Office Head.

53. APPROVAL OF THE ADMINISTRATOR. Upon receipt of the recommendation of the GCAB or a pre-award binder sent directly to the Administration, the Administrator of LEAA will make the final decision on the application. If the decision is favorable, the Administrator will sign the award. Note exception in paragraph 52b (3).

SECTION 8: NOTIFICATION

54. NOTIFICATION OF GRANT AWARD.

- a. Upon approval of the grant award by the Administration, it shall be handcarried to the Control Desk, FMGAB.
- b. FMGAB will assign grant award number, date and official grant period to grant award. The award date will be five (5) FULL WORKING DAYS after the grant is signed, not including the date of signature or the award date. A copy of the project summary (showing grant award number, date and official grant period) will be handcarried to the Congressional Liaison Office (CLO) for their information and action.
- c. Upon approval of the initial LEEP and Internship grants for an academic year, OCJET is responsible for providing a copy of the award lists to the Office of Congressional Liaison FIVE (5) FULL WORKING DAYS before the effective date of the award.
- d. CLO/PIO is responsible for and has FIVE (5) FULL WORKING DAYS to notify the Congress and media of the award prior to notification to grantee.
- e. FMGAB is responsible for grant notification to the State Central Information Reception Agency (SCIRA) and area clearinghouses, if applicable. Notification to SCIRA must be made within SEVEN (7) WORKING DAYS after final action on an application. Section III of SF-424 is used for this purpose.

55. AWARD DISTRIBUTION - FMGAB.

- a. Prepares and sends transmittal letter (signed by Administrator) to grantee enclosing a set of the grant award documents (award letter, special conditions if applicable, and project summary); copies of the narrative report, Form 4587/1; copies of the H Series of financial reports; a copy of the effective edition of Guideline Manual M 4500.1, Discretionary Grant Manual, if applicable; and the effective edition of the Manual for Financial Management for Planning and Action Grants, M 7100.1.
- b. Sends a copy of transmittal letter and grant award documents to applicable grant manager and State Planning Agency.
- c. Sends a copy of grant award documents and application to the LEAA Reading Room NCJRS.
- d. Sends copy of grant award to the Accounting Division through the Budget Division, OC.
- e. Sends copies of LEAA Form 4000/8, Grant Project Summary to all SPAs on a monthly basis.
- f. OCJET prepares and sends a copy of the transmittal letter and grant award document to the grantee institution.

56 - 74. RESERVED.

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CHAPTER 4. GENERAL PROJECT ADMINISTRATION

SECTION 1: GENERAL

75. PURPOSE. Grantees are required to meet certain financial and administrative standards in the operation of their projects. Administrative conditions are generally stated in the terms of the grant. Financial standards are given in the effective edition of Guideline Manual M7100.1, Financial Management for Planning and Action Grants and, where applicable, the effective edition of Guideline Manual M5200.1, Law Enforcement Education program.
76. APPLICABILITY. The effective edition of Guideline Manual M7100.1, shall serve as a basic reference source and guide for all financial questions arising in the management of ALL LEAA grant programs, except LEEP. This Handbook will perform the comparable task for all administrative questions arising in the management of LEAA CATEGORICAL GRANTS.

SECTION 2: USE OF THE FINANCIAL MANAGEMENT
GUIDELINE MANUAL (M7100.1)

77. GRANTEE MANAGEMENT RESPONSIBILITIES. Project directors shall be responsible for project management according to the standards discussed in this section, and more specifically provided in the effective edition of M7100.1. When the grantee is the State Planning Agency, it shall be responsible for assuring proper administration of subgrants including responsibility for:
- a. Proper conduct of the financial affairs of any subgrantee or contractor insofar as they relate to programs or projects for which grant funds have been made available; AND
 - b. Default in which the State Planning Agency may be held accountable for improper use of grant funds.
78. GRANT ASSURANCE. Grantees are required to make the grant assurances contained in Part V of SF 424 and LEAA Form 4000.4. These assurances include agreement to comply with Circulars OMB A-95, A-110, FMC-74-4, and A-102. Procedures for compliance with A-102, A-110 and 74-4 are included in the effective edition of M7100.1. Procedures for compliance with A-95 are referenced in this Handbook. All grant assurances should be reviewed carefully by the applicant.
79. COSTING PROCEDURES AND ALLOWABILITY. Allowable costs include those which may be legitimately charged to an LEAA-funded project. The

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allowability of costs incurred under any grant shall be determined in accordance with the general principles of allowability and standards for selected cost items set forth in Office of Management and Budget Circular OMB A-102., "Cost Principles Applicable to Grants and Contracts with State and Local Government;" OMB Circular A-110, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;" and in the effective edition of LEAA Guideline Manual M7100.1, "Financial Management for Planning and Act on Grants".

- a. Each individual project supported under a categorical grant program will, unless otherwise provided in program specifications, be subject to a separate grant application to the Administration incorporating a detailed budget of proposed project costs.
- b. The budget narrative will set forth the details of cost items specified in the effective edition of M7100.1 as requiring specific prior approval.
- c. Award of a categorical grant will constitute approval in each instance of specified cost items and therefore "prior approval" items will receive consideration and subsequent approval or disapproval as part of the award process.
- d. Changes among items within one of the budget categories may be made by the grantee without prior approval but remain subject to M7100.1 cost allowability and budget requirements and may not constitute a change in the scope or objectives of the approved project.
- e. Limitations of travel and subsistence charges by grantee personnel who are in travel status on official business incident to a grant program shall be consistent with those normally allowed in like circumstances in the non-federally sponsored activities of the grantees. (See LEAA Guide G7100.3, effective edition, Principles for Determining Travel Cost Applicable to LEAA Grants for further explanation of the LEAA travel policy).
- f. Grants to nonprofit organizations are subject to GSA and OMB Management Circulars setting forth cost principles for such organizations.
- g. Upward revisions of provisional indirect cost rates which cause expenditures of grant funds in excess of the amount obligated by

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LEAA will normally be absorbed by grantee in lieu of supplementary awards by LEAA.

80. PAYMENTS. The following supplemental procedures are given in the effective edition of the Financial Management Guideline Manual, M7100.1 for the payment of grant funds:

- a. As grant applications are approved by the Administration, grantees will receive formal statements of award evidencing such action and indicating the amount and type of grant and any special conditions of the grant.
- b. State Planning Agencies which are grantees will be obligated to proceed promptly to award subgrants for execution of the project by intended implementing agencies. Exceptions to this requirement must be negotiated with the LEAA awarding office. Grant managers shall insure the provisions of the subparagraph are implemented by the grantee.
- c. Payments of Federal grant funds under the discretionary grant program will be through the Letter of Credit procedure currently in existence with the State Planning Agency or on a Treasury check issued basis. Grantees whose annual fund requirement for all types of grants is less than \$120,000 will receive Federal funds on a check issued basis. In most instances grantees whose annual fund requirements for all types of grants exceeds \$120,000 will operate under a letter of credit procedure. Procedures for both funding instruments are provided in the effective edition of M7100.1.
- d. Recipients of subgrants will make all applications for Federal funds to the State Planning Agencies through which the discretionary grant application was processed and the grant was awarded, and such applications will be in accordance with normal subgrant regulations and procedures of the State Planning Agency.
- e. Obligation of funds. Categorical grant funds will be obligated within the specific grant period indicated on grantee's statement of award. Categorical grant funds which have been obligated on or prior to the last day of the grant period will have 90 days in which to be liquidated (expended). Funds which are not liquidated at the end of the 90 day period shall be deobligated.

81. ADVANCES AND REIMBURSEMENTS. LEAA Form 7160/3, the Request for Ad-

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vance and Reimbursement (H-3) shall be used to request funds by grantees who are not operating under a letter of credit (See Appendix 7). A separate form, submitted on a monthly basis, must be used for EACH grant when requesting funds.

- a. The Original and two copies of the form are to be submitted to the Control Desk, OC. Only the Original H-3, after approval by the cognizant LEAA Program Office will be forwarded to the Accounting Division, OC for payment. Refer to paragraph 82b for detailed instructions.
- b. Instructions for completion of the Request for Advance or Reimbursement are given in Chapter 6, paragraph 32 of the effective edition of M7100.1.

82. POSSIBLE INAPPLICABILITY OF THE FINANCIAL MANAGEMENT GUIDELINE MANUAL. In the event that grant managers determine that the effective edition of M7100.1 Guideline Manual policy should not be or cannot be applied to a program or project, or to a particular circumstance of a program or project, a formal request for policy deviation shall be submitted to the Office of the Comptroller. This request should specify: the provisions of the guideline manual policy that are considered inapplicable to the project, program or circumstance; the reasons why they are considered inapplicable; and the provision that is intended to be substituted. Action shall not be taken to implement the proposed policy deviation until authorization has been received from the Office of the Comptroller.

83-85 RESERVED.

SECTION 3: CHANGES IN PROJECT

86. GRANT ADJUSTMENT POLICY AND PROCEDURES. All requests for program or budget changes must be handled in a timely manner by the grant manager in coordination, if appropriate, with the Grant Management Specialist (FMGAB). All requests for changes from the approved plan or budget should be carefully reviewed for both consistency with M7100.1, Financial Management for Planning and Action Grants, and their contribution to project goals and objectives. Project changes should be approved only if they conform to the above criteria.
- a. Types of Project Changes. There are several types of project changes and/or modifications which require formal approval of LEAA and subsequent issuance of a Grant Adjustment Notice. Examples of such changes are:

(1) Budget revisions when:

- (a) The grant budget is over \$100,000 and the cumulative amount of transfers among direct cost object class exceeds or is expected to exceed \$10,000 or 5% of the budget, whichever is greater; or
- (b) The grant budget is \$100,000 or less and the cumulative amount of transfer among direct object class budget categories exceeds or is expected to exceed 5% of the grant budget.

(2) Change in scope of work or objective:

(3) Change in project site;

(4) Change in project period; such as an extension of the project period and/or extension of the expenditure deadline;

(5) Changes which increase or decrease the total cost of the project;

(6) Change in or temporary absence of the project manager/director;

(7) Transfer of grant;

(8) Successor in interest and name change agreements;

(9) Transfer for contracting of grant supported activities;

(10) Addition of an item to the grant budget requiring prior approval;

(11) Change of grant manager;

(12) Special conditions attainment, if required.

b. Consult the effective edition of the Guide for Discretionary Grant Programs, M4500.1, for the adjustments the SPA is authorized to make for those grants awarded to it.

c. Notification. All grantees must give prompt notification in writing to the grant manager of events or proposed changes which may require an adjustment/notification such as those set forth in paragraph 86a. In requesting an adjustment, the grantee must set forth the reasons and basis for the proposed change and any other data deemed helpful for LEAA review.

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d. Processing. The following procedures will be used in processing a request for grant adjustment.

- (1) The Program Office shall review the request for adjustment and either approve or disapprove the request where it possesses the delegated authority. Should the request for adjustment require a financial review, analysis or opinion, the program office must forward the package to FMGAB for review and recommendation. The written recommendation of FMGAB with respect to any financial aspect of a grant adjustment must be considered in approving or disapproving such requests.
- (2) If the program office approves the request, it shall prepare a MEMORANDUM OF PROJECT CHANGE setting forth the reason, basis, and circumstance which justify the changes to a grant which shall be formalized by utilizing Grant Adjustment Notice LEAA Form 4040/2 (APPENDIX 8) which shall be signed by the appropriate Assistant Administrator or Grant Manager if this person has the authority to sign grant adjustments.
- (3) The Program Office shall forward the Adjustment Package (grantee written request, original, Memorandum of Project Change, and Grant Adjustment Notice) to FMGAB for numbering, State Clearinghouse Notification, data input into the accounting and PROFILE systems, filing and mailing of approval to the grantee.
- (4) If the Program Office disapproves a request for project adjustment/modification, a written response to the grantee must be prepared with an explanation of the reasons for denying the request. Denial package (grantee request, original, and denial letter) shall be forwarded to FMGAB for filing and mailing of denial to the grantee.
- (5) Processing time for grant adjustments is limited to ten (10) working days beginning with the date the adjustment request is received and logged by the program office. For those adjustment requests which require approval of the Administration, an additional five (5) working days is allowed.

e. Distribution. The following distribution shall be made by FMGAB of the grant adjustment:

- (1) Copy to grantee and a courtesy copy to subgrantee, if applicable.

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- (2) One copy to the grant manager;
- (3) Three copies to the Control Desk, FMGAB (official grant file, Accounting Division, Profile input);
- (4) Refund checks that accompany a Grant Adjustment Notice will be forwarded directly to the Accounting Division, Office of the Comptroller by the Control Desk, FMGAB. The grant number shall be written on the upper right-hand corner of the check.

87. SCIRA NOTIFICATION. The following procedures shall be used to report information concerning LEAA grants and other types of financial assistance awarded in the various states in accordance with Section 201 of the Intergovernmental Cooperation Act of 1968 and Department of Treasury Circular No. 1082. Notification, by Standard Form 424, must be made to the appropriate State Central Information Reception Agency (see Appendix 9 for a list of these agencies) within seven (7) working days. Requirements of this paragraph do not apply to LEEP and Internship grants.

- a. Applicability. Basic reporting requirements apply to all grants made to a State or a political subdivision of a State. Excepted from this requirement are awards made directly to individuals (for example, fellowships) and research and development awards.
- b. Types of Transactions. Reporting is required for each notice of grant award or other official notification which accomplishes any of the following actions:
 - (1) Grants. Awards, rejections, and withdrawals.
 - (2) Grant dollar amount changes. For categorical grants notification should not be made for dollar adjustments of less than 10% of the original award or under \$1,000 whichever is higher. For block and formula grants notification applies to adjustments of \$10,000 or more. De-obligations regardless of amount should not be reported.
 - (3) Changes in the grant period that increase or decrease a grant period by more than 3 months from the originally approved grant period (the period of award specified on the Grant Award Document).

88. SUSPENSION AND EARLY TERMINATION OF GRANTS. There are two cases in which a grant may be suspended or terminated before its originally authorized end date. The nature of and procedures for each case are described below:

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- a. Suspension and Termination for Cause. When a grantee has failed to comply with the terms and conditions of a grant, LEAA and/or the SPA may (a) recommend suspension of the grant, (b) recommend termination of the grant for cause, or (c) take such other action as may be legally available and appropriate under the circumstances.
- (1) The decision to terminate or suspend a grant is a serious judgment that must be based on a thorough analysis of all relevant factors. Initially, LEAA and/or the SPA must determine that the grantee has failed to comply with one or more of the terms and conditions of the grant. Additionally, it must be determined that such non-compliance is of sufficient magnitude to warrant the termination or suspension of grantee or sub-grantee support.
 - (2) LEAA prefers that deficiencies be corrected whenever practicable. Therefore, recommendations by LEAA and/or the SPA to suspend or terminate a grant shall be taken only after grantee has been informed of the deficiency and given sufficient time to correct it.
 - (3) When conditions are identified which are sufficiently serious for LEAA and/or the SPA to consider termination or suspension of a grant, LEAA and/or the SPA shall advise the grantee by letter of the nature of the problem and that failure to correct the deficiency may result in termination or suspension. The grantee must respond in writing within 30 days of the date of such letter, describing the action taken or the plan designed to correct the deficiency.
 - (4) If a satisfactory written response to the letter described in (3) above is not received within 30 days of the date of such letter, the SPA shall inform the cognizant LEAA office of its recommendation to suspend or terminate a grant. Such notice shall fully set forth the reasons for the action.
 - (5) The LEAA program office shall inform the Office of General Counsel of its recommendations to suspend or terminate a grant. Such notice shall fully set forth the reasons for the recommended action. No further action shall be taken by the program office until legal advice from OGC is received.
- b. When the SPA wishes to terminate its administration of a subgrant, it shall provide written notification to LEAA setting forth the reasons for such termination and the effective date. This notification must be forwarded to the Control Desk which shall refer the

notification to the cognizant program office. Thereafter, LEAA will decide as to the action to be taken.

- (1) Where the SPA is authorized to terminate a grant, such action must be in accord with the States hearing, and appeal procedures.
- (2) Where LEAA takes direct action to terminate, such action must be in accord with LEAA's Hearing and Appeal Procedures. The cognizant LEAA Program Office will be responsible for forwarding the information to the Control Desk, FMGAB, for dissemination to all parties concerned.

89. DATE CHANGES. The cognizant LEAA program office may give prior approval for extensions of grants for up to 12 months, if the resultant grant period does not exceed 24 months. Where extensions result in grant periods exceeding a total of 24 months, prior approval from the Administrator is required. In either case, requests for change or extension of the grant period should be made at least 90 days in advance of the end date of the grant. Date changes shall be processed in accordance with the requirements of paragraph 86d and 86e.
90. CHANGES IN SCOPE OF THE PROJECT. The project director may make minor changes in methodology, approach or other aspects of the project to expedite achievement of the project's objectives. Major changes in scope, duration, or training, or other significant areas must be approved by the cognizant LEAA Program Office. Changes in the scope of the project shall be processed in accordance with the requirements of paragraph 86d and 86e.
91. TEMPORARY ABSENCE OF THE PROJECT DIRECTOR. Whenever absence of the project director is anticipated to exceed a continuous period of three months, the plans for the conduct of his/her duties during such absence must be approved by the cognizant LEAA Program Office. This information must be provided in a letter signed by an authorized representative of the grantee, at least 30 days before departure of the project director, or as soon as it is known he/she shall be absent. This request must be sent to the Control Desk which shall refer the request to the cognizant program office. The grant may be terminated if arrangements made are not approved by LEAA.
92. WITHDRAWAL OF OR CHANGE IN PROJECT DIRECTOR. If the project director relinquishes or expects to relinquish active direction of the project, the cognizant LEAA program office must be notified immediately. In such cases, if the grantee wishes to terminate the project, LEAA will forward procedural instructions upon notification of such intent. If the grantee wishes to continue the project under the direction of another

individual, a biographical sketch and necessary additional details as requested should be sent to the cognizant LEAA Program Office for review and approval. The grant may be terminated if the qualifications of the proposed individual are not approved. (See paragraph 86d and 86e for grant adjustment review and approval procedures.)

93. ADMINISTRATIVE CHANGE IN GRANTEE INSTITUTION. LEAA may authorize a change in the grantee institution administratively responsible for the conduct of a grant-supported activity, provided that the project will be performed at the same site, be for the same purpose, and benefit the same population or geographic area, and provided that the change is agreed to by both organizations. If any of the above conditions are not met, a new application will be required. This action is accomplished by issuing a grant award and must be signed by the Administrator.
94. CONTRACTING FOR OR TRANSFERRING OF GRANT-SUPPORTED EFFORT. None of the principal activities of the grant-supported effort shall be contracted or transferred to another organization without specific prior approval by the cognizant program office. All such arrangements should be formalized in a contract or other written agreement between the parties involved. Copies of the proposed contract or agreement must be submitted for prior approval at the earliest possible time, preferably with the grant application. The contract or agreement must at a minimum state the activities to be performed, the time schedule, the policies and procedures to be followed, the dollar limitation of the agreement, and the cost principles to be followed in determining what costs, both direct and indirect, are to be allowed. The contract or other written agreement must not affect the grantee's overall responsibility for the direction of the project and accountability to the government.
95. SUCCESSOR IN INTEREST AGREEMENTS. As a result of legislative or other legal action affecting the status of a grantee institution, such as a merger, divestiture, or other corporate change, LEAA may recognize a third-party or new grantee organization as the successor through a formally documented Successor in Interest Agreement executed by LEAA, Transferor and the Transferee. When it is in the interests of LEAA to recognize a successor in interest to a grant, the cognizant LEAA Program Office shall execute such agreement, subsequent to the grantee's submission of any of the following documents appropriate to the situation.
 - a. A properly authenticated copy of the instrument by which the transfer of assets was effected, for example, a bill of sale, certificate or merger, or decree of court;

- b. A certified copy of the resolutions of the Boards of Trustees of the grantee institutions authorizing the transfer of assets;
 - c. A properly authenticated copy of the certificate and articles of incorporation of the Transferee if such corporation was formed for the purpose of receiving the assets involved in the performance of the grant.
 - d. An opinion of counsel for the Transferor and the Transferee that the transfer was properly effected in accordance with applicable law and the effective date of transfer;
 - e. A new application face page for each grant, showing new name of institutions and new principal officers if any change occurred; and;
 - f. A new IRS identification number for each grantee.
96. NAME CHANGE AGREEMENTS. When only a change of name is involved which does not affect the rights and obligations of the grantee, a name change agreement shall be executed by the grantee and approved by the program office. A name change agreement will consist of the grantee's submission and LEAA's receipt of the following documents:
- a. A copy of the instrument which effected the name change, authenticated by a proper official of the State having jurisdiction;
 - b. An opinion of counsel for the grantee that the change of name was properly effected in accordance with applicable law;
 - c. A list of all grants accompanied by a new application face page for each grant showing new name of institutions and new principal officers if any change occurred; and
 - d. A new IRS identification number for each grantee.

SECTION 4: GRANTEE REPORTS

97. Reporting Responsibilities

- a. PURPOSE. This paragraph covers the types of reports, both programmatic and administrative, which are to be submitted to LEAA by grantees. In the process of managing LEAA grants, it is necessary to obtain information which will be useful to those responsible for monitoring project activities and expenditures. During the life of the grant, the grantee will be asked to prepare and document various aspects of the grant which relate to overall performance and progress in operating the project. There are var-

ious ways in which this can be achieved; but, in most cases, grantees will prepare standard report forms for submission to LEAA. In other instances, Grant Managers or other Agency personnel may obtain information from a grantee through informal channels, such as telephone conversations or site visits. The purpose of this paragraph is to provide a digest of the types of programmatic and administrative reports which are required of the grantee; how the grantee should prepare the documents, and when the grantee will be required to submit these reports to LEAA.

- b. GRANTEE AWARENESS AND RESPONSIBILITIES. It is the ultimate responsibility of the grantee to comply in full with all grant reporting requirements and to submit such reports in a timely manner. The grantee should refer to all applicable Agency regulations as well as all general and special conditions contained in the grant agreement pertaining to report requirements. This is especially important since some reports apply only to certain grant programs while others apply agency-wide.
- c. GRANT MANAGER REPOSNSIBILITIES. Grant Managers shall insure that grantees are fully aware of their responsibilities regarding LEAA report requirements. In some instances, it may be necessary to provide technical assistance to the grantee so that the reports are properly prepared and submitted to LEAA on time. Continuous monitoring of the grant by the Grant Manager should be done to insure that reports are submitted on time and are accurate to the best knowledge of the grantee and the Grant Manager.
- d. REFERENCE MATERIALS. LEAA guidelines handbooks, instructions and other external reference materials apply in whole or in part to grantee reporting requirements and should be closely examined by Grant Managers. These materials are listed below:
 - (1) Guideline Manual for Financial Management for Planning and Action Grants, M7100, effective edition;
 - (2) Guideline Manual, Guide for Discretionary Grant Programs, M4500, effective edition;
 - (3) Program Announcements published by operating component (NILECJ, OCJET, etc.).
 - (4) Office of Management and Budget (OMB) Circular A-102, Uniform Administrative Requirements for Grant-in-Aid to State and Local Governments;

- (5) Office of Management and Budget Circular (OMB) A-110, Grants and Agreement with Institutions of Higher Education, Hospitals and other Non-Profit Organizations.

98. PROGRESS REPORTS. Progress reports, concerning project accomplishments, are prepared quarterly except in exceptional cases, otherwise specified as a special condition in the grant agreement.

- a. Quarterly Progress Report. Quarterly Progress Reports, regarding progress achieved in relation to project milestones, are required for all LEAA categorical grant programs. Quarterly Progress Reports are processed as follows:

Comptroller (FMGAB)	Timely Submission from grantee, logging, dissemination to Program Office.
Program Office	Timely Review, Analysis, Acceptance, Monitoring.

- b. Final Progress Report. An acceptable Final Progress Report, documenting all relevant project activities initiated during the entire period of grant support, is required for all LEAA categorical grant programs. Final Progress Reports are processed as follows:

Comptroller (FMGAB)	Timely submission from grantee, Logging, System Input, Assignment to Program Office.
Program Office	Timely Review, Analysis, Acceptance, and Timely submission of the Assessment Report.

- c. Interim Progress Reports. Grant Managers are responsible for advising grantees on the content, structure, and frequency of Quarterly and Final Progress Reports.

- d. Monitoring and Reporting Project Performance. Progress reports are primarily designed to aid program and grant managers in carrying out their responsibilities for monitoring grant supported activities. Grantees are responsible for the management of day-to-day operations of the project activity. It is necessary for grantees to constantly monitor the progress and performance under the grant to assure compliance with established grant conditions. Grantees must keep adequate records of their monitoring activity. The grantee's review of the project, its functions and activities, shall be set forth in the progress report to LEAA. Generally, progress reports are brief (normally less than five pages) are either in chart or narrative form or both. The major focus of the report is, THE PROGRESS ACHIEVED ON EACH TASK IN RELATION TO THE APPROVED SCHEDULE

AND PROJECT MILESTONES FOR THAT REPORTING PERIOD. In addition, grantees shall inform the Grant Manager as soon as the following conditions become known:

- (1) Any problems, delays, or adverse conditions which have (or will) affect the ability of the grantee to attain project objectives;
 - (2) Favorable developments or events which enable the grantee to meet time schedules or milestones sooner than anticipated;
 - (3) Any major changes in the overall project, its objectives, time schedule, organization, or staffing for the period;
 - (4) Any major changes in the overall budget for the project, including a presentation of current and projected project expenditures;
 - (5) Other pertinent information including, where appropriate, analysis and explanation of cost overruns or high unit costs.
- e. Final Reports. Final reports are required for all categorical grants except LEEP. Five reproducible copies of an acceptable final report must be submitted to the Grant Manager, who is responsible for the following actions:
- (1) Filing one copy of all acceptable final reports with the LEAA Library and the LEAA official grant file.
 - (2) Reviewing final reports and determining their acceptability in terms of their technical and programmatic value and their overall compliance with established reporting requirements;
 - (3) Determining if final reports will be prepared for Agency publication and notify the grantee of all related publication procedures affecting such decision.
- f. Documentation of Project Activities/Achievements. An acceptable final report shall document project activities, including a complete description of the achievements made under the grant with respect to stated objectives and planned project milestones. All technical aspects of the project, both positive and negative, shall set forth in complete detail, such as the following items:

- (1) The grantee's findings and conclusions relevant to stated project objectives and goals;
- (2) Project results and overall accomplishments with respect to key project milestones;
- (3) An analysis of the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated;
- (4) Grantee recommendations based upon project experiences relevant to future actions or implementation of demonstrated methods and/or techniques; and
- (5) Other relevant data or information which supports a complete documentation of project activities.

99. ADMINISTRATIVE REPORTS. This paragraph discusses administrative reports which the grantee is required to submit to LEAA in accordance with the conditions of the grant award. These administrative reports include Financial Status Report; Request for Advance or Reimbursements Property Report and Project Invention Report.

- a. Financial Status Report (LEAA Form 7160/1) Quarterly and Final(H-1). Financial Status Report is required for all nonconstruction categorical grant projects except LEEP. This report shall be submitted by the grantee to LEAA within 45 days after the end of the quarter. Final Reports are due 90 days after the end of the grant period or after completion. This report shall be sent to FMGAB/GCMD/OC which is responsible for obtaining, verifying and disseminating this report to the Accounting Division. FMGAB/GCMD/OC shall insure this report is financially correct prior to submitting it to the program office.
- b. Request for Advance or Reimbursement LEAA Form 7160/3 (H-3). The request for advance or reimbursement is a standard voucher used for LEAA categorical grants when the letter-of-credit advance method of payment is not used. Grantees are authorized to submit requests for advance or reimbursement no more frequently than monthly. This report is processed as follows:
 - (1) FMGAB/GCMD/OC. This Office is responsible for obtaining, logging, verifying and disseminating this report to the Accounting Division and Program Offices.
 - (2) Program Offices. This Office is responsible for reviewing and approving the report. Program Office must return the Request for Advance or Reimbursement with approval to FMGAB within three (3) days of receipt of the report.

- c. Further Information. H-Series financial reports are discussed in detail in the effective edition of LEAA Manual M7100.1, Financial Management for Planning and Action Grants.
- d. Property Report. Within ninety (90) days prior to the termination date of the categorical grant, the grantee must submit to LEAA a complete inventory of all property for which the grantee is accountable. Information provided in this inventory listing shall indicate item description, date of purchase of the property, condition (serviceability) of the property and total cost of the property. Grantee shall forward the inventory listing to FMGAB, which will log and disseminate the inventory report to the program office. Upon receipt of the inventory listing, the program office will formally advise the grantee of the disposition of grant property (see Guideline G73&O, Standards for Property Acquired with LEAA Grant Funds) a copy of the letter of disposition and the inventory listing shall be forwarded to FMGAB for inclusion in the official grant file.
- e. Project Invention Report. Upon conclusion of the grant period of award, the Project Monitor will inform the grantee that it is required to submit to LEAA a final invention report listing all inventions required to be disclosed under the grant. (Any invention, discovery development (whether or not patentable) made in the course of the grant must be promptly and fully reported by the grantee. If, to the best knowledge of the grantee, no inventions have resulted from the grant-supported activity, the grantee will so certify to the Project Monitor as a negative report. The Invention Report must be submitted to LEAA (FMGAB) no later than ninety (90) days after completion of the grant period.

SECTION 5: ADDITIONAL GRANT REQUIREMENTS

- 100. PRINTING. The term printing shall be construed to include and apply to the process of composition, plate-making, presswork, binding, and microform; the equipment as classified in the tables in Title II of the Government Printing and Binding Regulations, published by the Joint Committee and Printing, Congress of the United States, and as used in such processes, or the end items produced by such processes and equipment. Pursuant to the Government Printing and Binding Regulations, no grant may be awarded primarily or substantially for the purpose of having material printed for LEAA. The Government Printing and Binding Regulations allows:

a. Issuance.

The issuance of a grant for the support of non-government publications, provided such grants were issued pursuant to an authorization of law and were not made primarily or substantially for the purpose of having material printed for LEAA.

b. Publications.

The publication of findings by grantees within the terms of their grant provided that such publication is not primarily or substantially for the purpose of having such findings printed for LEAA.

c. Initiation.

The initiation of the procurement of writing, editing, preparation of related illustration material from grantees, or the internal printing requirements of the grantee necessary for compliance with the terms of the grant. However, the printing of such material for the Government must be accomplished in accordance with printing laws and regulations.

d. Duplication.

A requirement for a grantee to duplicate less than 5,000 units of only one page, or less than 25,000 units in the aggregate of multiple pages of its findings for LEAA will not be deemed to be printing primarily or substantially for LEAA (e.g. 5,000 copies of one page, 500 copies of 50 pages, etc.). For the purpose of this paragraph, such pages may not exceed a maximum image size of 10 3/4 by 14 1/4 inches.

e. Production.

A requirement for a grantee to produce less than 250 duplicates from original microform will not be deemed to be printing primarily or substantially for LEAA. Microform is defined as one roll of microfilm 100 feet in length or one microfiche.

101. PUBLICITY. Project Directors should be encouraged to make the results and accomplishments of their activities available to the public. Prior LEAA approval is not required for publishing the results of an activity under a grant. Responsibility for the direction of the activity should not be ascribed to LEAA. However, an acknowledgement of support must be made through use of the following or comparable footnote:

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This project was supported by Grant No.
awarded by the Law Enforcement Assistance Administration
The contents do not necessarily reflect the views and
policies of the Law Enforcement Assistance Administration.

In the event that the grantee organization wishes to join with LEAA in a simultaneous news release announcing the results of a project, the action should be coordinated with the LEAA office administering the grant and the Public Information Office. Three reprints of publications resulting from work performed under an LEAA grant-supported project should be submitted to LEAA.

102. COPYRIGHT. Except as otherwise provided in the conditions of the award, the author is free to arrange for copyright without approval when publications or similar materials are developed from work under an LEAA grant-supported project. Any such copyrighted materials shall be subject to a royalty-free, nonexclusive, and irrevocable license to the Government to reproduce them, translate them, publish them, use and dispose of them, and to authorize others to do so for Government purposes. In addition, communications in primary scientific or professional journals publishing initial reports or research or other activities supported in whole or in part by LEAA grant funds may be copyrighted by the journal with the understanding that individuals are authorized to make, or have made by any means available to them, without regard to the copyright of the journal, and, without royalty, a single copy of any such article for their own use.
103. CONFLICT OF INTEREST. Personnel and other officials connected with LEAA funding programs shall adhere to the requirements given below:
- a. Advice. No official or employee of a State or unit of local government or of non-government grantees shall participate personally through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise in any proceeding, application, request for a ruling or other determination, contract, grant, claim, controversy, or other particular matter in which LEAA funds are used, where to his knowledge he or his immediate family, partners, organization other than a public agency in which he is serving as officer, director, trustee, partner, or employee or any person or organization with whom he is negotiating or has any arrangement concerning prospective employment, has a financial interest.
 - b. Appearance. In the use of LEAA grant funds officials or employees of State or local units of government and non-government grantees shall avoid any action which might result in, or create the appearance of:

- (1) Using his or her official position for private gain,
- (2) Giving preferential treatment to any person,
- (3) Losing complete independence or impartiality,
- (4) Making an official decision outside official channels, or
- (5) Affecting adversely the confidence of the public in the integrity of the Government or the program.

104. PATENTS AND INVENTIONS. If any program or project produces patents, patent rights, or inventions, in the course of work aided by an LEAA grant or SPA grant, such facts will be promptly and fully reported to LEAA. LEAA shall determine whether protection on such invention or discovery (including rights under any patents issued thereon) shall be disposed of and administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments and Agencies, August 23, 1971, and statement of Government Patent Policy as printed in 36 P.R. 16889).
105. PROCUREMENT STANDARDS. Grantees and subgrantees may use their own procurement regulations which reflect applicable state and local law, rules and regulations provided that procurements made with Federal grant funds adhere to the minimum procurement set forth in the effective editions of OMB Circulars A-102 and A-110 and latest LEAA Guideline Manual M 7100.I.
106. PROPERTY STANDARDS. Policies and procedures with respect to the acquisition and disposition of property acquired with grant funds must give affect to three primary considerations: the function of the property in facilitating the successful execution of a project; the necessity for insuring that grant funds are properly used and accounted for; and the desirability of minimizing administrative accounting and reporting requirements. All grantees utilizing grant funds for the acquisition of property are responsible for establishing and maintaining systems for the effective management of such property. Grantees are expected to apply to property acquired with LEAA funds the same policies, procedures, and controls normally applied to all of their other property provided that they meet the minimum management standards contained in the Standards for Property Acquired with Federal Funds, OMB Circulars A-102 and A-110.
107. DISEMINATION OF REPORTS BY THE NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE. This paragraph identifies the options available for the announcement and/or dissemination of LEAA technical reports by the

National Criminal Justice Reference Service (NCJRS). NCJRS, as LEAA's international criminal justice information clearinghouse, offers services to selectively announce and disseminate information to the criminal justice community.

a. Scope. The requirements of the paragraph apply to published LEAA reports such as:

- (1) Reports produced under categorical grants.
- (2) Reports produced by in-house research projects of LEAA components.
- (3) Reports produced under LEAA contracts.
- (4) Reports of third-party evaluation of LEAA programs and projects.

b. References

- (1) I 1431.1A, Submission of LEAA Grant, Contract, or in-house Research Project Reports to the National Criminal Justice Reference Service.
- (2) I 1441.1B, LEAA Mailing Lists and Categories.

c. Method of Announcement and Dissemination

- (1) Initial mass mailings of LEAA grant, contract, and in-house reports which are published through government printing facilities are made by the Department of Justice Distribution Unit. Coordination of such mailing is the responsibility of the Printing and Publications Branch, Audiovisual Communications Division, Office of Operations Support.
- (2) Selective announcement and dissemination may be made through the NCJRS and its Selective Notification of Information (SNI) program. Requests for use of the selective announcement and dissemination capabilities of NCJRS should be directed to the Government Project Monitor in the Office of Development Testing and Dissemination, NILECJ, who is responsible for coordinating LEAA and NCJRS contractor interaction.
- (3) Selective distribution of documents may also be made through NCJRS. Requests for selective document distribution should be coordinated with the GPM or NCJRS and the Printing and Publications Branch, OOS.
- (4) Offices will follow their own internal procedures for the

preparation review and approval of reports for publications prior to submitting them to the Printing and Publications Branch, OOS.

108. SUBMISSION OF LEAA GRANT, CONTRACT, OR IN-HOUSE RESEARCH PROJECT REPORTS TO THE NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE.

- a. Reports affected. Procedures for submission to NCJRS, given to subsequent subparagraphs, apply to the following reports:
 - (1) Reports produced under LEAA categorical grants. If published, dissemination copies are not produced, LEAA Form 4587/1, Discretionary Grant Progress Report (final narrative only) should be submitted.
 - (2) Reports produced as in-house research projects by an LEAA component. If published dissemination copies are not produced, final manuscript copies should be submitted.
 - (3) Reports produced under LEAA contracts (non-administrative). Final reports of all LEAA research or system development contracts should be submitted. Reports should not be submitted until the Government Project and the Contracting Officer have agreed and acknowledge that the reports are in final form.
 - (4) Reports of third-party evaluations of LEAA categorical programs and projects. Final reports of third-party evaluations of LEAA programs and projects shall be submitted.
- b. Copy Requirements. To support the activities of NCJRS and its data base of substantive research information, five copies of final progress reports and/or products (two copies of audio-visual materials) whether published and disseminated or unpublished, should be sent to NCJRS, Attention: Acquisitions Librarian, for consideration as NCJRS data base entries.
- c. Forms of Reports. Special formatting beyond that suggested by either LEAA Guideline 1432.2 or LEAA Form 4587/1 is not required for submitting reports to NCJRS. Some reports may only be summaries, narrative or formal publications. However, all final reports are to be submitted to NCJRS.
- d. Exceptions. Documents issued under the LEAA directive system, such as Instructions, Notices, and Handbooks, which are administrative in nature of confidential reports which should not be disseminated beyond a grantee or documents which are not issued as part of a grant, contract, or in-house study project, are not subject to this instruction.

e. Uses of Submitted Reports.

- (1) All LEAA reports processed into the NCJRS data base will be abstracted, indexed, microfiched and entered into the Document Loan Program. Copies of all NCJRS holdings will be maintained in a permanent file for use by the criminal justice community throughout the nation.
- (2) All LEAA grant, contract and in-house reports which are published through government printing facilities are initially disseminated through the Department of Justice Distribution Unit. However, subsequent dissemination of these reports, in response to requests, may be made through NCJRS which will furnish or loan either paper or microfiche copies to requestors from supplies on hand or refer requestors to the Government Printing Office for purchase. Dissemination or other than microfiche copies of reports will be limited to those reports which have been approved for publication and dissemination by LEAA.

f. Responsibility for Report Submission. Submissions of reports under this instruction will be considered an administrative requirement for each grant manager.

109. REALLOCATION OF LEAA CATEGORICAL GRANTS FUNDS. Any office which desires to reallocate funds to another office and, in so doing, to alter the Part C Discretionary, Technical Assistance, office allocation shall prepare a memorandum of justification which covers the following:

- a. Program Objective from which funds are to be reallocated and the expected impact.
- b. Program Objective to which reallocated funds are to be applied and the expected impact.
- c. Statement of concurrence or non-concurrence by affected office head.
- d. Statement from the Budget Division that the funds are available to meet the reallocation request.
- e. Upon completion of all staff work, the request shall be delivered through the Office of Planning and Management to the Administrator for his approval/disapproval.
- f. Following the Administrator's decision, the memorandum shall be routed to the Budget Division (OC) for finalizing the reallocation of funds in the budget of each office or offices involved. The

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Budget Division will make the necessary adjustments to the current operating plan(s).

- g. Cognizant MBO Program Managers should be kept informed with information copies of all correspondence.

110.-112. RESERVED



CHAPTER 5: MONITORING

113. POLICY.

- a. LEAA Office Heads will not approve or recommend for approval grant applications that do not include clear objectives and a well-defined implementation plan which conforms with application preparation instructions contained in the effective edition of M 4500.1.
- b. LEAA Office Heads and Grant Managers will assure that grants under their supervision are monitored in accordance with this instruction and that problems of grantees are promptly recognized and corrective action taken. If corrective action cannot be promptly effected, a report concerning the problem and recommended action shall be filed with the immediate supervisor of the grant manager and the responsible program manager. Problems and issues which cannot be resolved promptly by an office head will be reported to the Administration.
- c. OPM will monitor and report on implementation of these policies and procedures. OPM will provide, upon request, technical assistance to program offices concerning monitoring techniques.

114. PROCEDURES.

- a. Basis for Monitoring. To be effective, the monitoring process must have a basis for determining grant progress or the lack of it. The basis to be used in monitoring LEAA categorical grants shall be the grant's implementation plan. All LEAA categorical grant applicants are required to develop a detailed implementation plan and incorporate it into Part III and IV of their application. The effective edition of M 4500.1 provides applicants with both instructions and format for accomplishing this.
- b. Determining Planned Progress. The grant's implementation plan is used in the monitoring process to determine what activity should be taking place in the grant at any point in time. This information (e.g., planned progress) is compared with activity that is actually occurring within the grant, and a judgment is made as to whether the grant is or is not progressing as planned and scheduled.
- c. Determining Actual Progress. LEAA's monitoring system provides several methods for determining actual grant progress. These methods include:
 - (1) Grantee Reports. LEAA grantees, including SPAs, are required to report actual grant progress on a calendar quarterly basis. Two reports are required each calendar

quarter, a Financial Status Report (Appendix 10) and a (program) Categorical Grant Progress Report (Appendix 11). Both calendar quarterly reports address progress in terms of the grant's implementation plan.

- (2) Desk Monitoring. OMB Circulars A102 and A110 prohibit LEAA from requiring grantee progress reports more frequently than quarterly. To determine progress between quarters, grant managers are encouraged to monitor by telephone. That is, to make periodic telephone calls to their grantees which are designed to address specific progress issues/or problems relating to the grant implementation plan. A copy of this report must be included in the official grant file maintained by the Office of the Comptroller.
- (3) Site Monitoring. There are two types of site visits which can be used to determine actual grant progress.
 - (a) On-site Visits. The LEAA grant manager visits the grantee at the project site, discusses specific issues related to implementation progress, observes grant activity, and makes judgments about planned versus actual progress.
 - (b) Off-site Visits. The grant manager meets with the grantee at some place other than the project site to discuss specific implementation issues and to obtain information about grant progress which will enable a judgment to be made about reported versus actual progress. There are two basic forms of off-site visits.
 - 1 Group Monitoring. A number of grantees are called to a central location where the grant manager meets with them as a group to discuss specific progress issues. This type of off-site visit is most effective when there is a programmatic relationship between the grants involved.
 - 2 Grantee Visits to LEAA. The grantee is called to LEAA by the grant manager for a meeting on specific program issues.
 - (c) Site visits of either type are not to be "fishing expeditions" without specific issues to be addressed. Before conducting a site visit the grant manager must develop a site visit plan which identifies what issues will be addressed. This plan must be keyed to the grant's implementation plan.

d. Using Progress Information. Grant progress information which is obtained by quarterly progress reports, quarterly financial reports, telephone contacts and site monitoring has three principal uses within LEAA:

- (1) Grants Management. The grant manager uses progress information to track grant progress and to determine what corrective action must be taken when the grant is not progressing according to plan or schedule.
- (2) Program Management. A program manager is the LEAA professional who is in charge of a multigrant effort where all grants are contributing towards the achievement of the same goal or goals. Progress information is used by the program manager in the same manner as it is used by the grant manager. This is, to determine whether or not the program is progressing as planned and scheduled and, when it is not, whether prompt corrective action is being taken to restore the plan and schedule. To facilitate the program management process, LEAA grant managers are required to provide quarterly monitoring reports to the program manager. Appendix 12 provides instructions for preparing and submitting this report. The format provided for in these instructions must be followed. It is important to note that grant managers shall not wait until time for the next quarterly report to inform program managers of significant grant problems. Such problems shall be brought to the program manager's and immediate supervisor's attention as soon as possible, either in writing or orally, whichever is appropriate.
- (3) Program Development. An important use of progress information is its application to program development. Monitoring information is of particular importance to continuation grants. This information is essential to determining whether or not continuation is programmatically justified, whether program refinements are needed and whether or not the grantee has demonstrated the capability for effectively utilizing the next year's funding. Monitoring information is equally important to the development of new categorical programs, particularly regarding decisions relating to LEAA's expanded involvement in a particular program area, the selection of grantees, and the assessment of implementation design prior to award. Three reports are required as input to the program development process. Grant managers are required to prepare a "Grant Assessment Report" within 120 days of the close of a grant.

This report assesses how well the grantee performed. The instructions and required format for this report are contained in paragraph 122 (b3), and (b5). Another report required as input to the program development process is the program manager's midyear "Grant Program Status Report". This report assesses grant program performance and progress halfway through the program year. Instructions and required format for this report are contained in Appendix 14. Finally, the Office of Planning and Management is required to prepare an annual report which assesses LEAA monitoring during the previous year and distills from it recommendations for improving both the monitoring and program development processes.

- e. Preparation of a Monitoring Plan. Ideally, all LEAA grants should be intensively monitored to enhance the potential for their success. Practically, however, LEAA lacks the manpower to accomplish this. Additionally, all grants do not require intensive monitoring. Recognizing this, program office heads shall assure that a monitoring workplan is developed for each grant and that the workplan reflects the grant's importance in terms of LEAA's mission and the grant's need for monitoring. Appendix 15 is a suggested method for prioritizing a grant and developing a workplan.
- f. Program Office Monitoring Responsibilities. Program managers are the individuals accountable for management of categorical grant programs, projects and contracts within their program areas. Other activities of an information gathering nature, audits, project and program reviews shall be conducted by the Office of Audit and Investigation (OAI) to support grant management in accordance with policy specified by I 4500.4, Coordination of Program Review Activities of the Office of Audit and Investigation.
- g. SPA Monitoring Responsibility. SPAs are responsible for both programmatic and financial monitoring of the grants awarded to them. With the exception of LEAA quarterly progress reporting requirements, SPAs establish their own internal grant monitoring and reporting procedures. SPAs will submit to LEAA on a quarterly basis for each grant awarded both a Financial Status Report (Appendix 10) and a Categorical Grant Progress Report (Appendix 11). Grant managers must contact the SPA to obtain a copy of SPA monitoring reports, if such reports are available.

115. MONITORING POLICY ASSESSMENT. OPM's annual Grant Implementation Management Report will make an overall assessment of LEAA monitoring at the close of each fiscal year. In addition, in May of each year, a sampling of grants will be made by OPM with support provided by the program offices. This sampling will be analyzed to assure that monitoring procedures are both effective and properly utilized by all LEAA program offices and that, when grant problems are occurring, prompt corrective action is taking place. This assessment shall be coordinate with the assessment of policy governing project and program reviews by the Office of Audit and Investigation which is stipulated in I 4500.4, Coordination of Program Review Activities of the Office of Audit and Investigation.
116. PROMISING AND EXEMPLARY PROJECT RECOMMEDNATION. If the site visit indicates that the visited project, having been operational for at least one year, has produced substantial evidence of having had a measureble impact in either the reduction of crime or the improvement of the criminal justice system and if the project shows particular promise of future success and possibilities for replication elsewhere the LEAA grants manager after consulting the supervisor (office program manager or division director) should encourage its nomination as an LEAA Promising Project candidate and provide the project with recommendation forms for that purpose. Completed forms should be submitted to the Office of Development and Testing, and Dissemination, NILECJ, which will determine the most appropriate means of further information dissemination, to include consideration under NILECJ's Exemplary Project Program. Additional supplies of the nomination form may be obtained from the Office of Development, Testing and Dissemination. (Refer to Appendix 13 for a copy of LEAA form 2300/6. Exemplary and Promising Projects Recommendation.)
117. RESERVED.

CHAPTER 6. CATEGORICAL GRANT CLOSE OUT PROCEDURES

118. PURPOSE. This part of the Handbook provides guidance in the administrative process and responsibilities to close out categorical grants. The close out process begins with PROFILE advance notice of grant expiration and concludes with Federal storage record retirement.
119. SCOPE. The provisions of this part apply to all LEAA personnel having functional responsibility for any area of the categorical grant close out process.
120. POLICY. The timely and proper closing of grants is one of the most important aspects of grant administration. It provides for the acceptance of the final product in relation to the funding support given and the programmatic accomplishment envisioned. Only through a thorough effort in this area can we achieve our purpose to improve and strengthen the effectiveness of the criminal justice community by making available important and meaningful products.

The grant manager in concert with the Grant and Contract Management Division, OC, is responsible for all detail actions and control necessary to timely accomplish the grant close out process to the phase of "Inactive". This point is reached upon the receipt and acceptance of all required grantee documents, and the completion of the grant manager's assessment report. The time frame to achieve this end should be no more than a MAXIMUM of 210 days after the expiration date of the grant.

The grant manager is responsible for providing the necessary information on close-out to GCMD, OC, which will update and close-out the grant file. Upon receipt of this information OC/GCMD shall complete LEAA Form 1340/4, PROFILE Categorical Status Update (appendix 16) for each close-out phase and subphase that is accomplished.

121. DEFINITIONS.
- a. Inactive Phase - Available for Audit. Subject to audit, no written request received.
 - b. Inactive Phase - Audit Requested. Written request to Office of the Audit and Investigation (OAI) identifying significant problems and requesting audit.
 - c. Inactive Phase - Audit Initiated. OAI begins audit.
 - d. Inactive Phase - Audit Completed. Audit work completed and Audit Report issued.

- e. Inactive Phase - Audit Finding(s) Unresolved. Finding(s) identified in Audit Report and awaiting resolution.
- f. Inactive Phase - Audit Finding(s) Resolved. Finding(s) cleared and Audit Closed.
- g. Close Out - The entire process commencing with PROFILE'S advance notice of grant expiration date to the storage of grant files in the Federal Records Center, and unexpended or unobligated funds are deobligated and/or reallocated.
- h. Cumulative Disbursements - Total grantee payments made, less re-funds received to date.
- i. Deobligation - The procedure by which LEAA officially reduces the federal grant award.
- j. End Date - Last authorized date in which grantee may incur obligations for approved grant activities.
- k. Expenditure Deadline Date - The expenditure deadline date is 90 days after the End Date of the grant, unless extended by an authorized official.
- l. Federal Storage - Grant file is transferred to the Federal Records Center.
- m. Final Financial Status Report (H-1) - A report designed to reflect all information (Federal and nonfederal) relating to obligations and outlays (expenditures) for LEAA grants.
- n. Final Narrative Progress Report - A report providing LEAA with complete narrative account of project accomplishments and problems.
- o. Financial Management Office - This office is the Grants and Contracts Management Division, OC.
- p. Final Financial Review Performed. Review performed by Financial Management Office (FMO) to ascertain if all required reports and documentation are in grant file and request additional action as required.
- q. Grant Close out Checklist - List used by Financial Management Office to ensure compliance with grant closeout procedure.

122. PROCEDURES

a. General

The following example provides the outside time parameters and overview of the chronological flow of the categorical grant close out process.

Close-Out Phases	Due Date	No. of Days from End Date
ADVANCE NOTIFICATION OF GRANT		
EXPIRATION	7/1/76	
ISD printout to grant managers		
END DATE (ISD Code 90)	8/15/76	
Expenditure Deadline	11/13/76	90
Grantee Reporting	11/13/76	90
(Final Narrative Progress, Final Financial Status H-1)		
Check List Items	2/13/77	90
(See Appendix 17)		
FINAL REVIEW PERFORMED (ISD CODE 91)		
Review performed by OC to ascertain that all required documents and actions are in the grant file, defi- ciencies noted, and program office informed of required resolutions.	2/13/77	180
INACTIVE (ISD Code 92)		
Review by program office of all reports and documents, and all deficiencies satisfied assessment report submitted. Grant is in an inactive stage available for audit.	3/15/77	210
Major Evaluation (if applicable)		

Close-Out Phases	Due Date	No. of Days from End Date
---------------------	-------------	------------------------------

Available for Audit (ISD Code 92)		
Audit Requested (ISD Code 93)		
Audit Initiated (ISD Code 94)		
Audit Completed (ISD Code 95)		
Audit Findings Unresolved (ISD Code 96)		
Audit Findings resolved (ISD Code 97)		1095*

Federal Storage (ISD Code 99) 11/12/79

* Three years from submission date of final Financial Status Report or resolution of audit findings whichever is later.

b. Detail

(1) Advance Notification of Grant Expiration

The Information Systems Division, OC, will generate a monthly listing of all categorical grants schedule to expire during a particular month. This listing will be produced during the first three working days of the month preceding the month reflecting grant expirations. For example, on November 1st a listing will be produced showing all grants scheduled for expiration during the month of December. This listing will be sent to the applicable monitoring office for informational purposes.

If the revised end date is not correct, immediate corrective action must be taken to preclude the grant from being automatically placed in a status other than "Active". This is accomplished by issuing a grant adjustment notice to correct the end date of a grant.

(2) PROFILE Status Change When Grant Expires

PROFILE will automatically, on a bi-weekly basis, convert all grants with expired revised end dates to the status "End Date Passed".

(3) Required Grantee Reports

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(a) Control Responsibility

FMGAB is responsible for the establishment and maintenance of logs to assure receipt of all required grantee reports. FMGAB will review each grant upon expiration of the revised end date to identify any missing documents required for close-out. FMGAB will advise the appropriate office, by memorandum, of the required documents for their follow-up action.

(b) Type, Due Date and Distribution of Reports

The grantee is required to provide the following reports after expiration of grant:

- 1 Final Financial Status Reports (H-1) due -- within 90 days after expiration of grant.

Distribution

Grantee sends original and two (2) copies of the H-1 to FMGAB which in turn forwards the original to the Accounting Division for verification. Upon Completion of the verification process, the Accounting Division shall notify FMGAB of the correctness of the H1, at which time, FMGAB shall forward a copy of the H-1 to the grant manager and file a copy of the H-1 in the official grant file.

- 2 Final Narrative Progress Report including any accompanying manuals, handbooks, etc., due -- within 90 days after expiration of grant.

Grantee sends original and copies to FMGAB. Original to official file. Copies to grant manager by transmittal memo for review and approval. Transmittal returned to FMGAB noting acceptance. Grant manager forwards five copies to NCJRS for data base along with third-party evaluation, if any.

- 3 Financial Settlement. Contained on the categorical grant close out checklist (see Appendix 17) are provisions to calculate the settlement of the Federal share of costs.

For detailed procedures in the deobligation reobligation of funds refer to the effective edition of I 4040.1, Deobligation, Reallocation and Reobligation of LEAA Grant Funds.

Distribution -- The original and one (1) copy of the checklist should be prepared. The original should be retained in the grant file and the copy sent to the Accounting Division, OC for reconciliation. The copy will be returned to the originating office by the Accounting Division.

4 Grant Status Update

After all required grantee reports are received and accepted, and all other considerations satisfied on the checklist, including the grant managers assessment report, LEAA Form 1340/4, PROFILE Categorical Status Update must be prepared indicating the status code "92".

5 Grant Manager Assessment Report

Before a grant can be placed in the inactive status, the grant manager must prepare a narrative assessment report. This report will be entered into the LEAA Grant Program File (PROFILE) and is intended to provide the users of PROFILE with information about the changes made, project results, new knowledge gained.

PROFILE reports will present both the project summary, which outlines the project objectives, and the assessment summary, which indicates the projects accomplishments or lack thereof. These reports will be used by criminal justice planners and LEAA management and staff.

Up to 1,440 characters (approximately 200 words) may be used. Since the project assessment summary is brief, statements must be clear and concise. The brevity also means that the statements must be selective. The goal is to summarize for the reader the project's activities, accomplishments, failures, discoveries, and knowledge gained.

The following are the specific components which must be included in the assessment summary. Depending on the type of project being assessed, it is possible that some of the components will not be relevant; however, every effort must be made to supply, as many components as possible and in every case, a summary of what was learned through the grant must be provided.

- (a) Problem Addressed and Main Objectives: Describe briefly the crime problem or criminal justice system problem addressed by the project e.g., burglary, stranger-to-stranger street crime, court case backlog, prosecutorial discretion, etc. Indicate in MEASURABLE TERMS the major objectives of the project. This statement of project objectives should be a short, precise sentence and should begin with the word "to". If the project had a clearly articulated hypothesis, state briefly the hypothesis, e.g., stranger-to-stranger street crime in the central business district can be reduced significantly by the installation of high intensity street lighting in these areas.
- (b) Adequacy of Grant Planning. Describe the competence of the grantee in managing the grant and the effectiveness of the grant implementation plan as a tool in implementing the grant. Refer to the specific parts of the implementation plan (e.g., Operating Plan, Resources Utilization Plan, etc.) and if planning was significantly defective, describe what LEAA can do in the future to avoid the same type of problem?
- (c) Activities Undertaken: Include a brief statement or listing of major activities undertaken toward the achievement of the project objective(s) and in testing of the hypothesis with which the project was concerned. Were activities undertaken those described in the Grant Implementation Plan? If not, why not? These will probably be activities such as counseling, referring, interviewing, training; include as many as are important. Also include the following when they apply to the project objectives:
 - 1 Clientele: Describe the population served; where appropriate, include the number, sex, age, or type of group (e.g., 30 males ages 12-15, 125 male first offenders primarily under the age of 25), 50 members of the police department, 35 high school females who have been truant 5 or more times, 6 probation officers, 25 male offenders in prison 2-10 years).

- 2 Services: Describe the services provided by the project during the entire period for which the project was in operation.
- (d) Principal Findings: Indicate any conclusion which can be drawn from the activities which were undertaken during the course of the project. Care should be taken to state only those findings that have been verified or if the conclusions drawn pertain to this project only (given the parameters of the project), this fact should be so indicated. Discuss specifically what was learned through the expenditure of these funds and how this particular grant aided in advancing the "state of the art." In addition, discuss specific project results in terms of (a) the achievement of goals and objectives; (b) results of tests of hypothesis; (c) the efficacy of activities undertaken and programs and services provided; (d) the quality of implementation of the project during its course. IF A FORMAL EVALUATION OF THE PROJECT WAS UNDERTAKEN BY AN INDEPENDENT THIRD PARTY, IDENTIFY THE EVALUATOR AND THE TITLE OF THE FINAL EVALUATION REPORT.
- (e) Documents Produced: Describe any documents or other deliverables produced by the grant (film, pamphlets, etc.) and indicate where they can be obtained.

Distribution

The original and one copy of the assessment report must be forwarded to FMGAB which will place the original in the official file and transmit the copy to ISD for PROFILE.

NILECJ prepares a fuller assessment of grant achievements by using the Project Review Form contained in Appendix 18. The first section of this report titled "Findings and substantive Quality, Grants Managers Assessment Report" shall be used to meet the requirements of the Grant Managers Assessment Report required by this Handbook.

6. Grant Evaluations

These instructions are provided to assist the grant monitor in writing a summary of major evaluation findings for those grants which have been formally evaluated by an independent grantee/contractor either as a selected project level evaluation or as part of a national program level evaluation funded by the National Institute for Law Enforcement and Criminal Justice (NILECJ). This summary contains specific information on the funding level of the completed evaluation, the contractor/grantee selected for the evaluation, the purpose and objectives of the evaluation, the

the evaluation methodology and the major findings of the evaluation. Evaluation findings summaries are included in the LEAA Grant Program File (PROFILE) and they are intended to make available to the users of PROFILE a concise statement of the findings of formal project and program level evaluations. PROFILE reports will present for each grant in the system a project summary which outlines the project objectives; an assessment summary which indicates the project's accomplishments or lack thereof; and an evaluation findings summary, if the project did contain a formal evaluation component. These reports will be used by criminal justice planners and LEAA management and staff.

The following are the specific components which must be included in the evaluation findings summary. You may use up to 1,440 characters (approximately 200 words). Since the evaluation findings summary is brief, your statements must be clear and the points you make must be concise.

The brevity also means that you must be selective about the statements you choose to include. Your goal should be to summarize for the reader precisely who conducted the evaluation; what the purposes and objectives of the evaluation were; what evaluation methodology was employed; and what the findings of the evaluation were.

The following components must be included in the evaluation findings summary:

(a) Title of the Evaluation:

State the title of the evaluation grant or contract.

(b) Funding level of Evaluation, Selection of Grantee/Contractor, and Source of Funds:

Describe briefly the funding level of the evaluation, the source of funding and method for selection of the evaluator. In particular, specify whether the source of funding was a percentage earmark of the grant for evaluation with the contractor selected by the grantee, or whether the evaluation was conducted under separate grant for LEAA with the grantee selected by LEAA or whether the evaluation was conducted under contract for LEAA with the contractor selected competitively by LEAA.

(c) Purpose and Objectives: State Briefly the purpose or main thrust of the evaluation, i.e. social impact, process, cost-benefit; and specific evaluation objectives. Since project objectives are sometimes in part not readily evaluable, briefly state how the specific evaluation objectives correspond to project/program objectives.

(d) Evaluation Methodology:

1. List indicators and measures used to asses results of the project against its objectives.
2. List sources of data and means of collection.
3. Briefly describe the methods of analysis utilized and present a general schema that represents the evaluation design as is appropriate, for example, for (a) process, (b) impact and (c) cost-benefits evaluation. State hypotheses tested.

(e) Evaluation Findings:

Briefly summarize the findings of the evaluation in terms guided by the above considerations and also including significant "side effects or unitended results" identified. This should include results especially pertaining to: (a) tests of underlying hypotheses and (b) the environmental situation, political support, resources, organization effectiveness, and leadership and (c) recommendations and conclusion

(f) Documents Produced: Describe any documents or reports produced by the evaluation and indicate where they can be obtained.

7. Grant Inactive Status

(a) Notice to Grantee

Upon completion and acceptance of the assessment report, the cognizant grant manager shall notify the grantee that the file is being placed in an inactive status and the grantee is required to retain the grant file for at least three years in accordance with Federal record retention requirements. The grantee shall also be informed that the file is subject to audit during the three year period. A copy of the correspondence must be forwarded to FMGAB for the official grant file.

(b) OFFICIAL FILE CONTENT

PRIOR TO PLACING A GRANT IN THE INACTIVE STATUS, THE GRANT MANAGER MUST MAKE, AND IS RESPONSIBLE FOR, A REVIEW OF THE OFFICIAL FILE TO ENSURE THAT ALL DOCUMENTS AND CORRESPONDENCE PERTINENT TO THE GRANT DURING ITS ENTIRE LIFE CYCLE ARE PRESENT.

(c) Audit of Grant

1. As indicated above, if the grant manager or other responsible official has requested an audit, the applicable code and other information must be provided on the required form to GCMD for input to PROFILE.
2. The grant manager is responsible for coordinating with Office of Audit and Investigation and GCMD and assuring input to PROFILE of the codes "94" AUDIT, Initiated; "95" AUDIT COMPLETE; "96" AUDIT FINDINGS RESOLVED; and "97" AUDIT FINDINGS RESOLVED, when applicable.
3. Further, the grant manager and FMGAB is responsible for ensuring that the audit report or applicable parts thereof, and other pertinent information regarding the resolution of audit findings on a particular grant are transmitted to the FMGAB for placement in the official file.

8. Federal Storage

The official file shall remain in the inactive status (IDS Code 92) until the end of the calendar quarter following the calendar quarter in which the date of IDS Code 92 is entered into the PROFILE system.

Upon reaching this milestone, the official file is to be sent to the applicable Federal Records Center, and the appropriate code entered into PROFILE.

CONTINUED

1 OF 3



CHAPTER 7. RESPONSIBILITY FOR GRANT INFORMATION

SECTION 1. GENERAL

123. PURPOSE. In order to administer several thousand grants, LEAA must maintain current, accurate, and accessible information about each grant, and about all changes affecting each grant. The PURPOSE of this Chapter is to assign responsibility for assuring receipt and processing of quarterly reports, for providing information to be put into PROFILE, and for actually putting the information into (updating) the PROFILE system.
124. SCOPE. This Chapter applies to all LEAA categorical grants.

SECTION 2. QUARTERLY REPORTS

125. QUARTERLY FINANCIAL STATUS REPORTS (H-1's). Grantees are required to submit H-1's, LEAA Forms 7160/1, to LEAA within 45 days after the end of each calendar quarter. Calendar quarters end on March 31, June 30, September 30, and December 31.
126. RESPONSIBILITY FOR QUARTERLY FINANCIAL REPORTS - H-1's. H-1's are submitted by grantees to the Office of the Comptroller. IT IS THE RESPONSIBILITY OF THE COMPTROLLER TO PROVIDE PROGRAM OFFICES WITH COPIES OF ALL H-1'S RECEIVED. IT IS ALSO THE RESPONSIBILITY OF THE COMPTROLLER TO INFORM PROGRAM OFFICES ABOUT DELINQUENT H-1 REPORTS. The Administration may from time-to-time ask the Comptroller to report on the status of delinquent H-1 reports, and to request program office heads and/or grant managers to secure timely submission of H-1 reports from their grantees.
127. QUARTERLY NARRATIVE REPORTS (DISCRETIONARY GRANT PROGRESS REPORTS). Grantees are required to submit Discretionary Grant Progress Reports, LEAA Form 4587/1, to LEAA within thirty-days after the end of each calendar quarter. Calendar quarters end on March 31, June 30, September 30 and December 31.
128. RESPONSIBILITY FOR QUARTERLY NARRATIVE REPORTS. Quarterly narrative reports are submitted by grantees to the Office of the Comptroller. It is the responsibility of the Comptroller to provide program offices with a copy of this report. It is also the responsibility of the Office of the Comptroller to inform program offices about delinquent narrative reports. The Administration may from time to time request the Comptroller to report on the status of delinquent quarterly narrative reports.

SECTION 3. COMPTROLLER REPORTS TO THE ADMINISTRATION

129. REGULAR REPORTS. The Comptroller shall report to the Administration twice annually, listing, by LEAA office and by the grant manager within each office, all grants for which quarterly financial and/or narrative reports are more than 90 days late.
130. DUE DATES. The Comptroller shall deliver to the Administration reports described in paragraph 129 on May 31 and November 30 of each year.

SECTION 4. PROFILE UPDATE

131. OFFICE OF THE COMPTROLLER RESPONSIBILITY. The Office of the Comptroller is responsible for operating and maintaining LEAA's Automated Grant PROGRAM FILE (PROFILE). With the few exceptions described in paragraph 133, below, program offices are responsible for providing the Comptroller with all information necessary for creating and updating grant files contained in PROFILE. THIS DEPENDENCE UPON PROGRAM OFFICES FOR INFORMATION DOES NOT IN ANY WAY REDUCE COMPTROLLER RESPONSIBILITY FOR MAINTAINING PROFILE. In cases when program offices do not provide accurate and timely information to the Comptroller, the Comptroller shall alert the Administration about such non-reporting.
132. PROGRAM OFFICE RESPONSIBILITY. Program offices are responsible for providing to the Office of the Comptroller the information shown in paragraph 133 for each grant under their jurisdiction. This information shall be used by the Comptroller to update PROFILE entries for each grant. Initial grant award documents are used to create the initial PROFILE records.
133. INFORMATION PROVIDED BY PROGRAM OFFICES. Program offices are responsible for providing the following grant information to the Office of the Comptroller for updating PROFILE:
- a. Grant award amount (source: grant award document);
 - b. Grant award date (source: grant award document);
 - c. Begin date and end date of project (source: grant award document);
 - d. LEAA office identifier (for example, OCJP, OJJD);
 - e. MBO Code (source: grant manager's memo);
 - f. Funding history, if the grant is a continuation (source: program office files);
 - g. Grant manager's name;

- h. Grantee name and address (source: grant project summary sheet, completed LEAA Form 4000/8);
- i. Project director's name (source: grant project summary sheet);
- j. Grant summary (source: Item 11 of grant project summary sheet);
- k. Grant assessment (source: Grant manager's final report on each grant); and
- l. All changes in each grant (source: Grant Adjustment Notice, LEAA Form 4063).

134. INFORMATION PROVIDED FOR PROFILE BY OFFICE OF THE COMPTROLLER. Using its own existing internal procedures, the Office of the Comptroller shall be responsible for providing the following information for each grant in order to update PROFILE:

- a. Grant award number;
- b. Grant status (for example, active, closed); and
- c. Status of quarterly reports

135. GRANT ADJUSTMENT NOTICES (GANs). CHANGES IN ANY INFORMATION CONTAINED IN PARAGRAPH 133 a-1 above MUST BE REPORTED TO THE COMPTROLLER BY THE PROGRAM OFFICE USING A GRANT ADJUSTMENT NOTICE (GAN). Changes must be reported -- that is, GANs must be prepared, signed, and sent to the Comptroller by program offices--AS SOON AS THE CHANGE OCCURS. PROMPT EXECUTION OF GANs IS NECESSARY TO MAINTAIN AN ACCURATE PROFILE SYSTEM.

APPENDIX 1. GRANT APPLICATION STATUS

1. GRANT APPLIC. NO.		2. GRANTEE		3. PROJECT TITLE	
4. DATE APPLIC. REC'D.	5. APPLICATION AMT. \$	6. AWARD NO.	7. DATE AWARDED	8. AWARD AMT. \$	
9. GRANTEE IRS NO.	10. GRANTEE ADDRESS (street, city, state, zip code)				
11. PROGRAM MONITOR'S SIGNATURE		12. OFFICE/DIV./BRANCH		13. TEL. EXT.	
14. FMD REVIEW REQUIRED (check box) <input type="checkbox"/> YES <input type="checkbox"/> NO		15. SIGNATURE OF RESPONSIBLE OFFICIAL		16. DATE	
17. COMMENTS (Reverse side may be used)					
18. ADDITIONAL DISTRIBUTION		19. ADMINISTRATION ACTION ON APPLICATION			
		A. DATE SENT	B. DATE RET'D.	C. DECISION (check) <input type="checkbox"/> APPROVED <input type="checkbox"/> REJECTED	D. DATE

LEAA FORM 4020/1 (REV. 4-76) SUPERCEDES LEAA FORM 4020/2 (1/74)

GRANT APPLICATION STATUS

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APPENDIX 2. APPLICATION FOR FEDERAL ASSISTANCE (NON-CONSTRUCTION)

OMB Approval No. 29-R0218

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	3. STATE APPLICATION IDENTIFIER	4. NUMBER
1. TYPE OF ACTION (Mark appropriate box) <input type="checkbox"/> PREAPPLICATION <input type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (Opt.) <input type="checkbox"/> REPORT OF FEDERAL ACTION		b. DATE 19 Year month day	b. DATE 19 Year month day	ASSIGNED 19
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. County : f. State : g. ZIP Code : h. Contact Person (Name & telephone No.) :		5. FEDERAL EMPLOYER IDENTIFICATION NO.		
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT		6. PRO-GRAM (From Federal Catalog) a. NUMBER : b. TITLE :		
10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)		8. TYPE OF APPLICANT/RECIPIENT A-State B-Interstate C-Substate D-District E-County F-School District G-Special Purpose District H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): Enter appropriate letter <input type="checkbox"/>		
13. PROPOSED FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		9. TYPE OF ASSISTANCE A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other Enter appropriate letter(s) <input type="checkbox"/>		
14. CONGRESSIONAL DISTRICTS OF: a. APPLICANT b. PROJECT		11. ESTIMATED NUMBER OF PERSONS BENEFITING		
16. PROJECT START DATE 19 Year month day		12. TYPE OF APPLICATION A-New B-Renewal C-Revision D-Continuation E-Augmentation Enter appropriate letter <input type="checkbox"/>		
17. PROJECT DURATION Months		15. TYPE OF CHANGE (For 1st or 1st) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation F-Other (Specify): Enter appropriate letter(s) <input type="checkbox"/>		
18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY 19 Year month day		19. EXISTING FEDERAL IDENTIFICATION NUMBER		
20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)		21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No		
22. THE APPLICANT CERTIFIES THAT	a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved. (1) (2) (3)			
23. CERTIFYING REPRESENTATIVE	b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: No response attached <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
24. AGENCY NAME		c. TYPED NAME AND TITLE		d. SIGNATURE
25. AGENCY NAME		e. DATE SIGNED 19 Year month day		
26. ORGANIZATIONAL UNIT		27. ADMINISTRATIVE OFFICE		28. APPLICANT'S RECEIVED 19 Year month day
29. ADDRESS		28. FEDERAL APPLICATION IDENTIFICATION		29. FEDERAL GRANT IDENTIFICATION
31. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN	32. FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		33. ACTION DATE 19 Year month day	
34. FEDERAL AGENCY A-95 ACTION		35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)		36. STARTING DATE 19 Year month day
35. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part I, OMB Circular A-95, it has been or is being made.		36. ENDING DATE 19 Year month day		37. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No

424-101

STANDARD FORM 424 PAGE 1 (10-75)
Prescribed by GSA, Federal Management Circular 74-7

HB 4500.2A
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SECTION IV-REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

STANDARD FORM 424 PAGE 2 (10-75)

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

- | Item | Item |
|---|---|
| <p>1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.</p> <p>2a. Applicant's own control number, if desired.</p> <p>2b. Date Section I is prepared.</p> <p>3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.</p> <p>3b. Date applicant notified of clearinghouse identifier.</p> <p>4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.</p> <p>5. Employer identification number of applicant as assigned by Internal Revenue Service.</p> <p>6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.</p> <p>6b. Program title from Federal Catalog. Abbreviate if necessary.</p> <p>7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.</p> <p>8. Mostly self-explanatory. "City" includes town, township or other municipality.</p> <p>9. Check the type(s) of assistance requested. The definitions of the terms are:
 A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.
 B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).
 C. Loan. Self explanatory.</p> | <p>D. Insurance. Self explanatory.</p> <p>E. Other. Explain on remarks page.</p> <p>10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.</p> <p>11. Estimated number of persons directly benefiting from project.</p> <p>12. Use appropriate code letter. Definitions are:
 A. New. A submittal for the first time for a new project.
 B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.
 C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).
 D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.
 E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.</p> <p>13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.</p> <p>14a. Self explanatory.</p> <p>14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."</p> <p>15. Complete only for revisions (item 12c), or augmentations (item 12e).</p> |

- | Item | | Item | |
|------|--|------|--|
| 16. | Approximate date project expected to begin (usually associated with estimated date of availability of funding). | 19. | Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA". |
| 17. | Estimated number of months to complete project after Federal funds are available. | 20. | Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP. |
| 18. | Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b. | 21. | Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached. |

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

- | Item | | Item | |
|------|---|-------|---|
| 22b. | List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached. | 23b. | Self explanatory. |
| 23a. | Name and title of authorized representative of legal applicant. | 23c. | Self explanatory. |
| | | Note: | Applicant completes only Sections I and II. Section III is completed by Federal agencies. |

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

- | Item | | Item | |
|------|--|------|---|
| 24. | Executive department or independent agency having program administration responsibility. | 35. | Name and telephone no. of agency person who can provide more information regarding this assistance. |
| 25. | Self explanatory. | 36. | Date after which funds will no longer be available. |
| 26. | Primary organizational unit below department level having direct program management responsibility. | 37. | Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks. |
| 27. | Office directly monitoring the program. | 38. | For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—If same as person shown in item 35, write "same". If not applicable, write "NA". |
| 28. | Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice. | | |
| 29. | Complete address of administering office shown in item 26. | | |
| 30. | Use to identify award actions where different from Federal application identifier in item 28. | | |
| 31. | Self explanatory. Use remarks section to amplify where appropriate. | | |
| 32. | Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks. | | |
| 33. | Date action was taken on this request. | | |
| 34. | Date funds will become available. | | |

Federal Agency Procedures—special considerations

- A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- B. *OMB Circular A-95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- C. *Special note.* In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

PART II

FORM APPROVED
OMB NO. 43-RO528

PROJECT APPROVAL INFORMATION

<u>Item 1.</u>	
Does this assistance request require State, local, regional, or other priority rating?	Name of Governing Body _____ Priority Rating _____
_____ Yes _____ No	
<u>Item 2.</u>	
Does this assistance request require State, or local advisory, educational or health clearances?	Name of Agency or Board _____
_____ Yes _____ No (Attach Documentation)	
<u>Item 3.</u>	
Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?	(Attach Comments)
_____ Yes _____ No	
<u>Item 4.</u>	
Does this assistance request require State, local, regional or other planning approval?	Name of Approving Agency _____ Date _____
_____ Yes _____ No	
<u>Item 5.</u>	
Is the proposed project covered by an approved comprehensive plan?	Check one: State <input type="checkbox"/> Local <input type="checkbox"/> Regional <input type="checkbox"/>
_____ Yes _____ No	Location of Plan _____
<u>Item 6.</u>	
Will the assistance requested serve a Federal installation?	Name of Federal Installation _____ Federal Population benefiting from Project _____
_____ Yes _____ No	
<u>Item 7.</u>	
Will the assistance requested be on Federal land or installation?	Name of Federal Installation _____ Location of Federal Land _____ Percent of Project _____
_____ Yes _____ No	
<u>Item 8.</u>	
Will the assistance requested have an impact or effect on the environment?	See instructions for additional information to be provided.
_____ Yes _____ No	
<u>Item 9.</u>	
Will the assistance requested cause the displacement of individuals, families, businesses, or farms?	Number of: Individuals _____ Families _____ Businesses _____ Farms _____
_____ Yes _____ No	
<u>Item 10.</u>	
Is there other related assistance on this project previous, pending, or anticipated?	See instructions for additional information to be provided.
_____ Yes _____ No	

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INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 — Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 — Furnish the name of the approving agency and the approval date.

Item 5 — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

No grant may be awarded unless a completed application form has been received.
(Sec. 501, P.L. 93-83)

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (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					
j. Indirect Charges					
k. TOTALS	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

INSTRUCTIONS

PART III

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 not 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).

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 were 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-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

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

Line 6j — Show the amount of indirect cost. Refer to FMC 74-4.

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. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

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

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal					
15. TOTAL	\$	\$	\$	\$	\$

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. TOTAL \$	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

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INSTRUCTIONS

PART III
(continued)

Section C. Source of Non-Federal Resources

Line 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. (See Attachment F, FMC 74-7.

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 amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, FMC 74-7.

Column (c) — Enter the State 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.

LEAA Instructions

Applicants must provide on a separate sheet(s) a budget narrative which will detail by budget category, the federal and nonfederal (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 unit of 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.

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 continuing 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 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 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, pre determined, 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 required herein or any other comments deemed necessary.

D.

INSTRUCTIONS

PART IV
PROGRAM NARRATIVE

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

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

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

2. RESULTS OR BENEFITS EXPECTED.

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

3. APPROACH.

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

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

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

4. GEOGRAPHIC LOCATION.

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

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to FMC 74-7, 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.

PART V ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements, including OMB Circular No. A-95 and FMCs 74-4 and 74-7, as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
- 3a. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.
- 3b. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 C.F.R. 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.
- 3c. It will comply with and will insure compliance by its subgrantees and contractors with Title I of the Crime Control Act of 1973, Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42) such that no person, on the basis of race, color, sex or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by LEAA.
4. 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.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. 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.
7. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with FMC 74-7.
9. It will comply with the provision of 28 CFR Part 20 regulating the privacy and security of criminal history information systems.
10. All published material and written reports submitted under this grant or in conjunction with the third party agreements under this grant will be originally developed material unless otherwise specifically provided for in the grant document. Material not originally developed included in reports will have the source identified either in the body of the report or in a footnote, whether the material is in a verbatim or extensive paraphrase format. All published material and written reports shall give notice that funds were provided under an LEAA grant.
11. Requests for proposal or invitations for bid issued by the grantee or a subgrantee to implement the grant or subgrant project will provide notice to prospective bidders that the LEAA organizational conflict of interest provision is applicable in that contractors that develop or draft specifications, requirements, statements of work and/or RFP's for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement.

SPECIAL INSTRUCTIONS FOR LEAA FORM 4000/3 (NON-CONSTRUCTION).

a. Part I. (Standard Form 424)

- (1) Item No. 6, Federal Catalog Number. The Catalog of Federal Domestic Assistance program number for LEAA discretionary grants is 16.501. Only this number should be placed in block 6.
- (2) Item No. 8, Type of Applicant. Applicant here refers to the State Agency, local government unit, institution or department or non-profit organization which will implement the project whether as direct grantee or subgrantee of a State Planning Agency.
- (3) Item No. 7, Title and Description. Indicate title and brief description of project. Also indicate program category (e.g., Rural Law Enforcement, Career Criminal, Victim/Witness Assistance, etc.) from chapter 1-4 of this Manual from which funding is sought.
- (4) Item No. 23, Signature of Authorized Representative. The signature shown MUST BE that of the individual authorized to enter into binding commitments on behalf of the applicant or implementing agency. He will normally be the chief officer of the agency or governmental unit involved.

b. Part III, Budget Information. (Refer to Appendix 6 for an example of a properly completed application budget.)

- (1) Section A, column (a). Grant applications requesting only one kind of discretionary funds (either Part C or Part E), should place the designation "DF-Part C" or DF-Part E" as appropriate on line 1. (See Appendix 6) Grant applications requesting a combination of Part C and Part E funding should place the designation on line 2.
- (2) Section A, column (b). Column (b) will always reflect the Catalog of Federal Domestic Assistance program number for LEAA discretionary grants, 16.501. This is the same number that appears in Item 6 of page 1 of the application.
- (3) Special LEAA Instructions. Applicants must follow the Instructions for completing Part III, Budget Narrative and Part IV Program Narrative contained in Appendix 9 of this manual.



APPENDIX 3. APPLICATION FOR FEDERAL ASSISTANCE (CONSTRUCTION)

OMB Approval No. 25-10218

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	a. NUMBER	3. STATE APPLICATION IDENTIFIER	a. NUMBER
1. TYPE OF ACTION <input type="checkbox"/> PREAPPLICATION <input type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (Opt.) <input type="checkbox"/> REPORT OF FEDERAL ACTION <small>(Mark appropriate box)</small>		b. DATE Year month day 19			b. DATE Year month day ASSIGNED 19
4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : b. Organization Unit : c. Street/P.O. Box : d. City : e. State : f. Contact Person (Name & telephone No.) :		5. FEDERAL EMPLOYER IDENTIFICATION NO. a. NUMBER : b. TITLE :		6. PROGRAM (From Federal Catalog) a. NUMBER : b. TITLE :	
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT		8. TYPE OF APPLICANT/RECIPIENT A-State B-Interstate C-Substate D-District E-City F-School District G-Social Purpose H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): Enter appropriate letter <input type="checkbox"/>		9. TYPE OF ASSISTANCE A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other Enter appropriate letter(s) <input type="checkbox"/>	
10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.)		11. ESTIMATED NUMBER OF PERSONS BENEFITING		12. TYPE OF APPLICATION A-New B-Renewal C-Revision D-Continuation E-Augmentation Enter appropriate letter <input type="checkbox"/>	
13. PROPOSED FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		14. CONGRESSIONAL DISTRICTS OF: a. APPLICANT b. PROJECT 16. PROJECT START DATE Year month day 19 17. PROJECT DURATION Months 18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY Year month day 19		15. TYPE OF CHANGE (For 11a or 11b) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation F-Other (Specify): Enter appropriate letter(s) <input type="checkbox"/>	
20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)		21. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No			
22. THE APPLICANT CERTIFIES THAT		a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved. b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: spouse (1) (2) (3)		Response attached <input type="checkbox"/>	
23. CERTIFYING REPRESENTATIVE		a. TYPED NAME AND TITLE b. SIGNATURE		c. DATE SIGNED Year month day 19	
24. AGENCY NAME		25. APPLICATION RECEIVED Year month day 19			
26. ORGANIZATIONAL UNIT		27. ADMINISTRATIVE OFFICE		28. FEDERAL APPLICATION IDENTIFICATION	
29. ADDRESS		30. FEDERAL GRANT IDENTIFICATION			
31. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN		32. FUNDING a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		33. ACTION DATE Year month day 19 34. STARTING DATE Year month day 19 35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 36. ENDING DATE Year month day 19 37. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	
38. FEDERAL AGENCY A-95 ACTION		a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.		b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)	

424-101

STANDARD FORM 424 PAGE 1 (10-75)
Prescribed by GSA, Federal Management Circular 74-7

HB 4500.2A

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SECTION IV-REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

STANDARD FORM 424 PAGE 2 (10-75)

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

- | Item | Item |
|--|---|
| 1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box. | D. Insurance. Self explanatory.
E. Other. Explain on remarks page. |
| 2a. Applicant's own control number, if desired. | 10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits. |
| 2b. Date Section I is prepared. | 11. Estimated number of persons directly benefiting from project. |
| 3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse. | 12. Use appropriate code letter. Definitions are:
A. New. A submittal for the first time for a new project.
B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.
C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).
D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.
E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged. |
| 3b. Date applicant notified of clearinghouse identifier. | 13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks. |
| 4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request. | 14a. Self explanatory. |
| 5. Employer identification number of applicant as assigned by Internal Revenue Service. | 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide." |
| 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code. | 15. Complete only for revisions (item 12c), or augmentations (item 12e). |
| 6b. Program title from Federal Catalog. Abbreviate if necessary. | |
| 7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description. | |
| 8. Mostly self-explanatory. "City" includes town, township or other municipality. | |
| 9. Check the type(s) of assistance requested. The definitions of the terms are:
A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.
B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).
C. Loan. Self explanatory. | |

- | Item | Item |
|--|--|
| 16. Approximate date project expected to begin (usually associated with estimated date of availability of funding). | 19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA". |
| 17. Estimated number of months to complete project after Federal funds are available. | 20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP. |
| 18. Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b. | 21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached. |

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

- | Item | Item |
|--|---|
| 22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached. | 23b. Self explanatory. |
| 23a. Name and title of authorized representative of legal applicant. | 23c. Self explanatory. |
| | Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies. |

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

- | Item | Item |
|--|---|
| 24. Executive department or independent agency having program administration responsibility. | 35. Name and telephone no. of agency person who can provide more information regarding this assistance. |
| 25. Self explanatory. | 36. Date after which funds will no longer be available. |
| 26. Primary organizational unit below department level having direct program management responsibility. | 37. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks. |
| 27. Office directly monitoring the program. | 38. For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—If same as person shown in item 35, write "same". If not applicable, write "NA". |
| 28. Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice. | |
| 29. Complete address of administering office shown in item 26. | |
| 30. Use to identify award actions where different from Federal application identifier in item 28. | |
| 31. Self explanatory. Use remarks section to amplify where appropriate. | |
| 32. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks. | |
| 33. Date action was taken on this request. | |
| 34. Date funds will become available. | |

Federal Agency Procedures—special considerations

- A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- B. *OMB Circular A-95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and area-wide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- C. *Special note.* In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

HB 4500. 2A
DEC 2 1977



U. S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

Approved:
OHB No. 43-R0559

APPLICATION FOR FEDERAL ASSISTANCE (FOR CONSTRUCTION PROGRAMS) PART I		1. State Clearinghouse Identifier	
		2. Applicant's Application No.	
3. Federal Grantor Agency Organizational Unit _____ Administrative Office _____ Street Address - P.O. Box _____ City _____ State _____ Zip Code _____		4. Applicant Name Department Division _____ Street Address - P.O. Box _____ City _____ County _____ State _____ Zip Code _____	
5. Descriptive Name of the Project			
6. Federal Catalog No.		7. Federal Funding Requested \$	
8. Grantee Type _____ State, _____ County, _____ City, _____ Other (Specify)			
9. Type of Application or Request _____ New Grant, _____ Continuation, _____ Supplement, _____ Other Changes (Specify)			
10. Type of Assistance _____ Grant, _____ Loan, _____ Other (Specify)			
11. Population Directly Benefiting from the Project		13. Length of Project	
12. Congressional District a. _____ b. _____		14. Beginning Date	
		15. Date of Application	
16. The applicant certifies that to the best of his knowledge and belief the data in this application are true and correct, and that he will comply with the attached assurances if he receives the grant.			
Typed name		Title	
		Telephone Number	
Signature of Authorized Representative		AREA CODE	NUMBER
			EXT.
For Federal Use Only			

LFAA Form 4000/4 (Rev. 8-74) Replaces edition of 6-73 which is obsolete.

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INSTRUCTIONS

PART I

This form shall be used to apply for Federal assistance for all construction, land acquisition or land development projects. Also, this form shall be used to request supplemental assistance, propose changes or amendments to approved grants, and request continuation or refunding for approved grants originally submitted on this form.

Submit the original and two copies of the forms. If an item cannot be answered or does not appear to be related or relevant to the assistance requested, write "NA" for not applicable. When a request is made for supplemental assistance, amendments or changes to an approved grant, submit only those pages which are appropriate.

Item 1 — Enter the State clearinghouse identifier. This is the code or number assigned by the clearinghouse to applications requiring State clearinghouse coordination for programs listed in Attachment D, Office of Management and Budget Circular No. A-95.

Item 2 — Enter the applicant's application number or other identifier. If a preapplication was submitted, show also the number that appeared on the preapplication, if different than the application number.

Item 3 — Enter the name of the Federal grantor agency, the name of the primary organizational unit to which the application is addressed, the name of the administrative office having direct operational responsibility for managing the grant program, and the complete address of the grantor agency.

Item 4 — Enter the name of the applicant, the name of the primary organizational unit which will undertake the grant-supported activity, and the complete address of the applicant.

Item 5 — Enter the descriptive name of this project.

Item 6 — Enter the appropriate catalog number as shown in the Catalog of Federal Domestic Assistance. If the assistance pertains to more than one catalog number, leave this space blank and prepare a separate set of Part III Forms for each catalog number.

Item 7 — Enter the amount that is requested from the Federal Government in this application. This amount should agree with the amounts shown in Part III, Section B, Line 22. For revisions, changes or amendments show only the amount of the increase or decrease.

Item 8 — Check one grantee type. If the grantee is other than a State, county, or city government, specify the type of grantee on the "Other" line. Examples of other types of grantees are council of governments, interstate organizations, or special units.

Item 9 — Check the type of application or request. If the "Other Changes" block is checked, specify the type of change. The definitions for terms used in Item 9 are as follows:

- a. New grant — a request which is being submitted by the applicant for the first time.
- b. Continuation grant — a request that pertains to the continuation of multi-year grant (e.g., the second year award for a project which will extend over five years.)
- c. Supplemental grant — a request which pertains to an increase in the amount of the Federal contribution for the same period.
- d. Other changes — specify one or more of the following:
 - (1) Increase in duration — a request to extend the grant period.
 - (2) Decrease in duration — a request to reduce the grant period.
 - (3) Decrease in amount — a request to decrease the amount of the Federal contribution.

Item 10 — Check the type of assistance requested. If the assistance involves more than one type, check two or more blocks and explain in Part IV — Program Narrative.

Item 11 — Enter the number of persons directly benefiting from this project. For example, if the project is for the construction of a neighborhood health center, enter the estimated number of residents in the neighborhood that will use the center.

Item 12

- a. Enter the congressional district in which the applicant is located.
- b. Enter the congressional district(s) in which most of the actual work on the project will be accomplished. If the work will be accomplished city-wide or State-wide, covering several congressional districts, write "city-wide" or "State-wide".

Item 13 — Enter the number of months that will be needed to complete the project after Federal funds are made available.

Item 14 — Enter the approximate date the project is expected to begin.

Item 15 — Enter the date this application is submitted.

Item 16 — Complete the certification before submitting the report.

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OMB NO. 50-R0184

PART II

PROJECT APPROVAL INFORMATION
SECTION AItem 1.Does this assistance request require State, local,
regional, or other priority rating?

_____ Yes _____ No

Name of Governing Body _____

Priority Rating _____

Item 2.Does this assistance request require State, or local
advisory, educational or health clearances?

_____ Yes _____ No (Attach Documentation)

Name of Agency or

Board _____

Item 3.Does this assistance request require clearinghouse review (Attach Comments)
in accordance with OMB Circular A-95?

_____ Yes _____ No

Item 4.Does this assistance request require State, local,
regional or other planning approval?

_____ Yes _____ No

Name of Approving Agency _____

Date _____

Item 5.Is the proposed project covered by an approved
comprehensive plan?

_____ Yes _____ No

Check one: State ☐Local ☐Regional ☐

Location of plan _____

Item 6.Will the assistance requested serve a Federal
installation?

_____ Yes _____ No

Name of Federal Installation _____

Federal Population benefiting from Project _____

Item 7.Will the assistance requested be on Federal land
or installation?

_____ Yes _____ No

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

Item 8.Will the assistance requested have an impact or effect
on the environment?

_____ Yes _____ No

See instruction for additional information to be
provided.Item 9.Will the assistance requested cause the displacement of
individuals families, businesses, or farms?

_____ Yes _____ No

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

Item 10.Is there other related Federal assistance on this
project previous, pending, or anticipated?

_____ Yes _____ No

See instructions for additional information to be
provided.

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INSTRUCTIONS

PART II - SECTION A

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions.

Item 1 - Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 - Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 - Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 - Furnish the name of the approving agency and the approval date.

Item 5 - Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 - Show the Federal population residing or working on the federal installation who will benefit from this project.

Item 7 - Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 - Briefly describe the possible beneficial and/or harmful impact on the environment because of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 - State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 - Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and amount of each project where there is related previous, pending, or anticipated assistance. Use additional sheets, if needed.

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INSTRUCTION

PART II - SECTION B

11. SITES AND IMPROVEMENTS: _____ Not required, _____ Attached as exhibits Applicant intends to acquire the site through: _____ Eminent domain, _____ Negotiated purchase, _____ Other means (specify)
12. TITLE OR OTHER INTEREST IN THE SITE IS OR WILL BE VESTED IN: _____ Applicant, _____ Agency or institution operating the facility, _____ Other (specify)
13. INDICATE WHETHER APPLICANT/OPERATOR HAS: _____ Fee simple title, _____ Leasehold interest, _____ Other (specify)
14. IF APPLICANT/OPERATOR HAS LEASEHOLD INTEREST, GIVE THE FOLLOWING INFORMATION: a. Length of lease or other estate interest _____, and number of years to run _____ b. Is lease renewable? _____ Yes _____ No c. Current appraised value of land \$ _____ d. Annual rental rate \$ _____
15. ATTACH AN OPINION FROM ACCEPTABLE TITLE COUNSEL DESCRIBING THE INTEREST APPLICANT/OPERATOR HAS IN THE SITE AND CERTIFYING THAT THE ESTATE OR INTEREST IS LEGAL AND VALID.
16. WHERE APPLICABLE, ATTACH SITE SURVEY, SOIL INVESTIGATION REPORTS AND COPIES OF LAND APPRAISALS.
17. WHERE APPLICABLE, ATTACH CERTIFICATION FROM ARCHITECT ON THE FEASIBILITY OF IMPROVING EXISTING SITE TOPOGRAPHY.
18. ATTACH PLOT PLAN.
19. CONSTRUCTION SCHEDULE ESTIMATES: _____ Not required, _____ Being prepared, _____ Attached as exhibits Percentage of completion of drawings and specifications at application date: Schematics _____ % Preliminary _____ % Final _____ %
20. TARGET DATES FOR: Bid Advertisement _____ Contract Award _____ Construction Completion _____ Occupancy _____
21. DESCRIPTION OF FACILITY: _____ Not required _____ Attached as exhibits Drawings - Attach any drawings which will assist in describing the project. Specifications - Attach copies of completed outline specifications. (If drawings and specifications have not been fully completed, please attach copies or working drawings that have been completed.)

NOTE: ITEMS ON THIS SHEET ARE SELF-EXPLANATORY; THEREFORE, NO INSTRUCTIONS ARE PROVIDED.

PART III - BUDGET INFORMATION - CONSTRUCTION			
SECTION A - GENERAL			
1. Federal Domestic Assistance Catalog No.			
2. Functional or Other Breakout			
SECTION B - CALCULATION OF FEDERAL GRANT			
Cost Classification	Use only for revisions		Total Amount Required
	Latest Approved Amount	Adjustment + or (-)	
1. Administration expense	\$	\$	\$
2. Preliminary expense			
3. Land, structures, right-of-way			
4. Architectural engineering basic fees			
5. Other architectural engineering fees			
6. Project inspection fees			
7. Land development			
8. Relocation Expenses			
9. Relocation payments to Individuals and Businesses			
10. Demolition and removal			
11. Construction and project improvement			
12. Equipment			
13. Miscellaneous			
14. Total (Lines 1 through 13)			
15. Estimated Income (if applicable)			
16. Net Project Amount (Line 14 minus 15)			
17. Less: Ineligible Exclusions			
18. Add: Contingencies			
19. Total Project Amt. (Excluding Rehabilitation Grants)			
20. Federal Share requested of Line 19			
21. Add Rehabilitation Grants Requested (100 Percent)			
22. Total Federal grant requested (Lines 20 & 21)			
23. Grantee share			
24. Other shares			
25. Total project (Lines 22, 23 & 24)	\$	\$	\$

SECTION C – EXCLUSIONS

Classification	Ineligible for Participation (1)	Excluded from Contingency Provision (2)
26		
a.	\$	\$
b.		
c.		
d.		
e.		
f.		
g. Totals	\$	\$

SECTION D – PROPOSED METHOD OF FINANCING NON-FEDERAL SHARE

27. Grantee Share	\$
a. Securities	
b. Mortgages	
c. Appropriations (By Applicant)	
d. Bonds	
e. Tax Levies	
f. Non Cash	
g. Other (Explain)	
h. TOTAL – Grantee share	
28. Other Shares	
a. State	
b. Other	
c. Total Other Shares	
29. TOTAL	\$

SECTION E – REMARKS

INSTRUCTIONS

PART III

Section A. General

1. Show the Federal Domestic Assistance Catalog Number from which the assistance is requested. When more than one program or Catalog Number is involved and the amount cannot be distributed to the Federal grant program or catalog number on an overall percentage basis, prepare a separate set of Part III forms for each program or Catalog Number. However, show the total amounts for all programs in Section B of the basic application form.
2. Show the functional or other categorical breakdowns, if required by the Federal grantor agency. Prepare a separate set of Part III forms for each category.

Section B. Calculation of Federal Grant

When applying for a new grant, use the Total Amount Column only. When requesting revisions of previously awarded amounts, use all columns.

- Line 1 — Enter amounts needed for administration expenses including such items as travel, legal fees, rental of vehicles and any other expense items expected to be incurred to administer the grant. Include the amount of interest expense when authorized by program legislation and also show this amount under Section E Remarks.
- Line 2 — Enter amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction.
- Line 3 — Enter amounts directly associated with the acquisition of land, existing structures, and related right-of-way.
- Line 4 — Enter basic fees for architectural engineering services.
- Line 5 — Enter amounts for other architectural engineering services, such as surveys, tests, and borings.
- Line 6 — Enter fees for inspection and audit of construction and related programs.
- Line 7 — Enter amounts associated with the development of land where the primary purpose of the grant is land improvement. Site work normally associated with major construction should be excluded from this category and shown on Line 11.
- Line 8 — Enter the dollar amounts needed to provide relocation advisory assistance, and the net amounts for replacement (last resort) housing. Do not include relocation administration expenses on this Line; include them on Line 1.
- Line 9 — Enter the estimated amount of relocation payments to be made to displaced persons, business concerns and non-profit organizations for moving expenses and replacement housing.
- Line 10 — Enter the gross salaries and wages of employees of the grantee who will be directly engaged in performing demolition or removal of structures from developed land. This line should show also the cost of demolition or re-

moval of improvements on developed land under a third party contract. Reduce the costs on this line by the amount of expected proceeds from the sale of salvage, if so instructed by the Federal grantor agency. Otherwise, show the proceeds on Line 15.

Line 11 — Enter amounts for the actual construction of, addition to, or restoration of a facility. Also include in this category the amounts of project improvements such as sewers, streets, landscaping and lighting.

Line 12 — Enter amounts for equipment both fixed and movable exclusive of equipment used for construction. For example, include amounts for permanently attached laboratory tables, built-in audio visual systems, movable desks, chairs, and laboratory equipment.

Line 13 — Enter amounts for items not specifically mentioned above.

Line 14 — Enter the sum of Lines 1-13.

Line 15 — Enter the estimated amount of program income that will be earned during the grant period and applied to the program.

Line 16 — Enter the difference between the amount on Line 14 and the estimated income shown on Line 15.

Line 17 — Enter amounts for those items which are part of the project but not subject to Federal participation (See Section C, Line 26g, Column (1)).

Line 18 — Enter the estimated amount for contingencies. Compute this amount as follows. Subtract from the net project amount shown on Line 16 the ineligible project exclusions shown on Line 17 and the amount which is excluded from the contingency provisions shown in Section C, Line 26g, Column (2). Multiply the computed amount by the percentage factor allowed by the grantor agency in accordance with the Federal program guidance. For those grants which provide for a fixed dollar allowance in lieu of a percentage allowance, enter the dollar amount of this allowance.

Line 19 — Show the total amount of Lines 16, 17, and 18. (This is the amount to which the matching share ratio prescribed in program legislation is applied.)

Line 20 — Show the amount of Federal funds requested exclusive of funds for rehabilitation purposes.

Line 21 — Enter the estimated amounts needed for rehabilitation expense if rehabilitation grants to individuals are made for which grantees are reimbursed 100 percent by the Federal grantor agency in accordance with program legislation. If the grantee shares in part of this expense show the total amount on Line 13 instead of on Line 21 and explain in Section E.

Line 22 — Show the total amount of the Federal grant requested.

Line 23 — Show the amount from Section D, Line 27h.

Line 24 — Show the amount from Section D, Line 28c.

Line 25 — Self-explanatory.

INSTRUCTIONS

PART III

Section C. Exclusions

Line 26 a-g — Identify and list those costs in Column (1) which are part of the project cost but are not subject to Federal participation because of program legislation or Federal grantor agency instructions. The total amount on Line g should agree with the amount shown on Line 17 of Section B. Show in Column (2) those project costs that are subject to Federal participation but are not eligible for inclusion in the amount used to compute contingency amounts as provided in the Federal grantor agency instructions.

Section D. Proposed Method of Financing Non-Federal Share

Line 27 a-g — Show the source of the grantee's share. If cash is not immediately available, specify the actions completed to date and those actions remaining to make cash available under Section E Remarks. Indicate also the period of time that will be required after execution of the grant agreement to obtain the funds. If there is a noncash contribution, explain what this contribution will consist of.

Line 27 h — Show the total of Lines 27 a-g. This amount must equal the amount shown in Section B, Line 23.

Line 28 a — Show the amount that will be contributed by a State or state agency, *only* if the applicant is *not* a State or state agency. If there is a noncash contribution, explain what the contribution will consist of under Section E Remarks.

Line 28 b — Show the amount that will be contributed from other sources. If there is a noncash contribution, explain what this contribution will consist of under Section E Remarks.

Line 28 c — Show the total of Lines 28a and 28b. This amount must be the same as the amount shown in Section B, line 24.

Line 29 — Enter the totals of Line 27h and Line 28c.

Section E. Other Remarks

Make any remarks pertinent to the project and provide any other information required by these instructions or the grantor agency. Attach additional sheets, if necessary.

PART IV

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for supplemental assistance should be responsive to Item 5b only. Requests for continuation or refunding or other changes of an approved project should be responsive to Item 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, include a description of who will occupy the facility and show how the facility will be used. For land acquisition or development projects, explain how the project will benefit the 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. 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 involvements.
- b. Provide for each grant program monthly or quarterly quantitative projections of the accomplishments to be achieved, if possible. When accomplishments cannot be quantified, list the activities in chronological order to show the schedule of accomplishments and their target dates.
- c. Identify the kinds of data to be collected and maintained, and discuss the criteria to be used to evaluate the results and success 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 each organization, cooperator, consultant, 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 and area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. Describe the relationship between this project and other work planned, anticipated, or underway under the Federal Assistance listed under Part II, Section A, Item 10.
- b. Explain the reason for all requests for supplemental assistance and justify the need for additional funding.
- c. 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 has been exceeded or if individual budget items have changed more than the prescribed limits contained in Attachment K, Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.

PART V
ASSURANCES

The applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines and requirements, including Office of Management and Budget Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also, the applicant gives assurance and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant, and to finance and construct the proposed facilities; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with the provisions of: Executive Order 11296, relating to evaluation of flood hazards, and Executive Order 11288, relating to the prevention, control, and abatement of water pollution.
3. It will have sufficient funds available to meet the non-Federal share of the cost for construction projects. Sufficient funds will be available when construction is completed to assure effective operation and maintenance of the facility for the purposes constructed.
4. It will obtain approval by the appropriate Federal agency of the final working drawings and specifications before the project is advertised or placed on the market for bidding; that it will construct the project, or cause it to be constructed, to final completion in accordance with the application and approved plans and specifications; that it will submit to the appropriate Federal agency for prior approval changes that alter the costs of the project, use of space, or functional layout; that it will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the construction grant program(s) have been met.
5. It will provide and maintain competent and adequate architectural engineering supervision and inspection at the construction site to insure that the completed work conforms with the approved plans and specifications; that it will furnish progress reports and such other information as the Federal grantor agency may require.
6. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State and local agencies for the maintenance and operation of such facilities.
7. It will give the grantor agency and the Comptroller General through any authorized representative access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by, the Physically Handicapped," Number A117.1-1961, as modified (41 CFR 101-17.703). The applicant will be responsible for conducting inspections to insure compliance with these specifications by the contractor.
9. It will cause work on the project to be commenced within a reasonable time after receipt of notification from the approving Federal agency that funds have been approved and that the project will be prosecuted to completion with reasonable diligence.
10. It will not dispose of or encumber its title or other interests in the site and facilities during the period of Federal interest or while the Government holds bonds, whichever is the longer.
11. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.
12. 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.
13. It will comply with the requirements of Title II and Title III 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.
14. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.
15. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
16. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.

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APPENDIX 4: FORMAT FOR GRANT MANAGER'S MEMORANDUM

I. PROJECT INFORMATION

- A. Project Summary. This section should provide a summary description of the project suitable for transfer to the Grant Project Summary Form (LEAA Form 4000/8) and for input to PROFILE. The following information should be covered by the summary in 200 words or less:
- Title of the categorical grant program through which the grant is to be funded;
 - Main problem which the project will address;
 - Major objectives of project operations;
 - Activities to be undertaken to accomplish project objectives:
 - . Sequencing of activities;
 - . Client groups to be served;
 - . Resources to be allocated, e.g., special equipment, facilities, or staff;
 - . Organizational arrangements to implement project;
 - Expected products and planned utilization
- B. Statement of the Problem to be Addressed
- What is the nature of the problem?
 - Who is affected by this problem?
 - Why does this problem merit LEAA's attention? MBO subprogram addressed.
- C. State-of-the-Art
- Discussion of what has been done in project area.
 - For continuation grants, discussion of accomplishments under earlier grants

D. Description of Proposed Approach

- Nature of the Project (study, pilot, test, demonstration, implementation, etc., and if applicable stage in APDP) and description of what they will do
- Scope and methodology of project and probability of success
- Follow-on efforts envisioned

E. Deliverables Defined/Workplan

- What to be accomplished?
- Major milestones and deliverables
- How are the products or results to be utilized by the criminal justice community (assuming no further LEAA support)

F. Summary of Coordination Activities

- With related LEAA projects
- With related (other federal agency) projects
- With related developments in industry

G. Evaluation and Monitoring

- For continuation grants, discussion of any evaluations of previous efforts
- Evaluations planned for this project
- Monitoring Planned
 - . Monitoring priority assigned using scoring procedures detailed by HB 4500.2A, Appendix 15.
 - . Level of monitoring effort to be committed to grant.

H. Other Considerations

- Civil Rights
- Environmental

II. APPLICANT INFORMATION

A. Criteria for Choice of Applicant

Describe the procedures and criteria used to select the applicant to conduct the work contained in the application.

B. Applicant's Capability

- Provide information which shows the applicant has the staff and managerial capability and fiscal integrity to conduct the grant work.
- For continuation grants, discuss difficulties encountered achieving milestones of previous plan, GAN's, indications of problems. Discuss how these considerations will affect project objectives during continued funding. Describe close-out status of existing grant.

III. FINANCIAL INFORMATION

A. LEAA Continuation Obligations

- Amount and number of years
- Can the project eventually be self-supporting (state/local assumptions of costs)?

B. Impact on Awarding Office's Budget

Show what impact the application will have on the awarding office's budget, as follows:

MBO Subprogram Budget

Total allocations for MBO subprogram	\$100,000
obligated to date for MBO subprogram	25,000
this grant application	10,000
Percent of budget to be used for this grant	10%

IV. OTHER INFORMATION

Provide any relevant information concerning the application not already contained in the Grant Manager's Memorandum

V. GRANT TECHNICAL REVIEW CHECKLIST (See Attachment A)

VI. SIGNATURE BLOCK

When recommending applications for approval, signatures of the grant manager, division director and office head are required. Other signatures may be included.

Attachment A

GRANT TECHNICAL REVIEW CHECKLIST

1. Problem which the grant is to address is documented by data.
Yes _____ No# _____ NA _____
2. Documentation submitted justifies the appropriateness of the site for the project.
Yes _____ No# _____ NA _____
3. Target groups for project operations are defined explicitly.
Yes _____ Special Condition* _____ NA _____
4. Project objectives specify key results to be accomplished.
Yes _____ Special Condition* _____ NA _____
5. Planned project tasks represent a logically conceived method for accomplishing all stated project objectives.
Yes _____ Special Condition* _____ NA _____
6. Information required by LEAA policy to monitor and review the project is provided. (I 4500.4, Paragraph 9a)
Yes _____ Special Condition* _____ NA _____
7. Milestones are established to track progress toward all project objectives and a timetable has been set.
Yes _____ Special Condition* _____ NA _____
8. Resources allocated are adequate to achieve the project objectives stated.
Yes _____ Special Condition* _____ NA _____
9. Measures selected to assess achievement of project milestones and objectives are understandable.
Yes _____ Special Condition* _____ NA _____
10. Accurate and reliable information can be obtained for the measures selected.

Yes_____ Special Condition* _____ NA _____

11. Data sources, collection, processing, and filing arrangements are indicated for the measures selected.

Yes_____ Special Condition* _____ NA _____

12. Plans for measurements, data collection and reporting are coordinated to support assessment of performance targets set for project milestones.

Yes_____ Special Condition* _____ NA _____


Provide a short explanation

* Specify Special Conditions by number



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APPENDIX 5. SAMPLE AWARDS TO GRANTEE

 U.S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		GRANT AWARD		PAGE <u>1</u> OF <u>2</u>
1. GRANTEE NAME AND ADDRESS (Including Zip Code) Council on Crime and Delinquency		4. GRANT NUMBER 75DF-99-0000		
		5. GRANT PERIOD FROM 10/01/77 TO 9/30/78		
1A. GRANTEE IRS/VENDOR NO.:		6. AWARD DATE 9/20/77		7. ACTION <input checked="" type="checkbox"/> INITIAL <input type="checkbox"/> SUPPLEMENTAL
2. SUBGRANTEE NAME AND ADDRESS (Including Zip Code)		8. SUPPLEMENT NUMBER --		
		9. PREVIOUS GRANT AWARD AMOUNT \$ -0-		
2A. SUBGRANTEE IRS/VENDOR NO.:		10. AMOUNT OF THIS AWARD \$ 1,000,000		
3. PROJECT TITLE		11. TOTAL GRANT AWARD \$ 1,000,000		
12. SPECIAL CONDITIONS (Check, if applicable) <input type="checkbox"/> THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED _____ PAGE(S).				
13. STATUTORY AUTHORITY FOR GRANT <input checked="" type="checkbox"/> TITLE I OF THE OMNIBUS CRIME CONTROL AND SAFE STREETS ACT OF 1968, 42 U.S.C. 3701, ET. SEQ., AS AMENDED. <input type="checkbox"/> TITLE II OF THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974, 42 U.S.C. 5601, ET. SEQ., AS AMENDED. <input type="checkbox"/> OTHER (Specify):				
14. METHOD OF PAYMENT THE GRANTEE WILL RECEIVE CASH VIA A LETTER OF CREDIT <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO				
LEAA APPROVAL		GRANTEE ACCEPTANCE		
15. TYPED NAME AND TITLE OF APPROVING LEAA OFFICIAL JAMES M. H. GREGG Assistant Administrator Office of Planning and Management		17. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL		
16. SIGNATURE OF APPROVING LEAA OFFICIAL		18. SIGNATURE OF AUTHORIZED GRANTEE OFFICIAL		18A. DATE
LEAA USE ONLY				
19. ACCOUNTING CLASSIFICATION CODE FISCAL YEAR FUND CODE BUD. ACT. OFC. REG. SUB. MDO		20. DOCUMENT CONTROL NUMBER		

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U.S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		GRANT AWARD		PAGE 1 OF 1
1. GRANTEE NAME AND ADDRESS (Including Zip Code) Action Group, Inc.		4. GRANT NUMBER 76SS-99-0000		
		5. GRANT PERIOD FROM 8/15/77 TO 9/14/78		
1A. GRANTEE IRS/VENDOR NO.		6. AWARD DATE 9/15/77	7. ACTION <input type="checkbox"/> INITIAL <input checked="" type="checkbox"/> SUPPLEMENTAL	
2. SUBGRANTEE NAME AND ADDRESS (Including Zip Code)		8. SUPPLEMENT NUMBER 76SS-99-0000(S-1)		
		9. PREVIOUS GRANT AWARD AMOUNT \$ 1,000,000		
2A. SUBGRANTEE IRS/VENDOR NO.		10. AMOUNT OF THIS AWARD \$ 900,000		
3. PROJECT TITLE		11. TOTAL GRANT AWARD \$ 1,900,000		
12. SPECIAL CONDITIONS (Check, if applicable) <input type="checkbox"/> THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).				
13. STATUTORY AUTHORITY FOR GRANT <input checked="" type="checkbox"/> TITLE I OF THE OMNIBUS CRIME CONTROL AND SAFE STREETS ACT OF 1968, 42 U.S.C. 3701, ET. SEQ., AS AMENDED. <input type="checkbox"/> TITLE II OF THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974, 42 U.S.C. 5601, ET. SEQ., AS AMENDED. <input type="checkbox"/> OTHER (Specify):				
14. METHOD OF PAYMENT THE GRANTEE WILL RECEIVE CASH VIA A LETTER OF CREDIT <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO				
LEAA APPROVAL		GRANTEE ACCEPTANCE		
15. TYPED NAME AND TITLE OF APPROVING LEAA OFFICIAL JAMES M. H. GREGG Assistant Administrator Office of Planning & Management		17. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL		
16. SIGNATURE OF APPROVING LEAA OFFICIAL		18. SIGNATURE OF AUTHORIZED GRANTEE OFFICIAL		19A. DATE
LEAA USE ONLY				
19. ACCOUNTING CLASSIFICATION CODE FISCAL YEAR FUND CODE BUD. ACT. OFC. REG. SUB. NBO			20. DOCUMENT CONTROL NUMBER	


LEAA FORM 4000/7 (REV. 5-77)

PREVIOUS EDITIONS ARE OBSOLETE.

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APPENDIX 6. SAMPLE SPECIAL CONDITIONS

	U.S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION	GRANT AWARD CONTINUATION SHEET	PAGE 2 OF 2
GRANT NUMBER 75DF-99-0000		AWARD DATE 9/20/77	
<p style="text-align: center;">SPECIAL CONDITIONS</p> <p>Grantee: <u>Council on Crime and Delinquency</u></p> <p>Grant Number: <u>75DF-99-0000</u></p> <p>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:</p> <ol style="list-style-type: none">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, M4500.1D and (ii) financial administration requirements as set forth in the Guideline Manual for Planning and Action Grants, M7100.1A.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. Grantee must submit to LEAA seven (7) copies of any handbook, manual video tape and/or any final product upon termination of grant.4. The grantee must submit to LEAA, a listing of nonexpendable property to include the cost of each item, 90-days prior to the termination date of the grant award. Submission of this listing and disposition of such property shall be in accordance with LEAA Guideline G7380.2, Standards for Property Acquired with LEAA Grant Funds, dated August 30, 1976. (For all direct categorical grants)			

LEAA FORM 4000/7A (5-77)

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APPENDIX 7. REQUEST FOR ADVANCE OR REIMBURSEMENT

REQUEST FOR ADVANCE OR REIMBURSEMENT (H - 3) (See instructions on back)		NOTE: No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (34 CFR 256).		APPROVED OMB NO. 43-RO530	
1. Type of Payment Requested a. "X" one, or both boxes <input type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT b. "X" the applicable box <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL		2. Basis of Request <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL		Page _____ of _____ Pages	
3. Federal Sponsoring Agency and Organizational Element To Which Report Is Submitted: U.S. Department of Justice, LEAA		4. Federal Grant or Other Identifying No. Assigned by Federal Agency		5. Partial Payment Request Number For This Request	
6. Employer Identification No.	7. Recipient's Acct. No. or Identifying No. N/A	8. PERIOD COVERED BY THIS REQUEST FROM (Month, day, year) TO (Month, day, year)			
9. Recipient Organization Name : Number & Street : City, State & Zip Code :		10. Payee (Where check is to be sent is different than item 9) Name : Number & Street : City, State & Zip Code :			
11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED					
PROGRAMS/FUNCTIONS/ACTIVITIES	(a)	(b)	(c)	TOTAL	
a. Total program outlays to date (see of date)	\$	\$	\$	\$	
b. Less: Cumulative program income					
c. Net program outlays (Line a minus line b)					
d. Estimated net cash outlays for advance period					
e. Total (Sum of lines c & d)					
f. Non-Federal share of amount on line e					
g. Federal share of amount on line e					
h. Federal payments previously requested					
i. Federal share now requested (Line g minus line h)					
j. Advances required by month, when requested by Federal grantor agency for use in making pre-scheduled advances.	1st Month				
	2nd Month				
	3rd Month				
12. ALTERNATE COMPUTATION FOR ADVANCES ONLY					
a. Estimated Federal cash outlays that will be made during period covered by the advance				\$	
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period.					
c. Amount requested (Line a minus b)				\$	
13. CERTIFICATION					
I certify that to the best of my knowledge and belief the data above are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.		SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		DATE REQUEST SUBMITTED	
		TYPED OR PRINTED NAME AND TITLE			
		TELEPHONE	Area Code	Number	Extension
SPACE BELOW IS FOR AGENCY USE ONLY					
CLEARANCE	APPROVED FOR PAYMENT	GRANT MANAGER'S SIGNATURE		DATE	
		FINANCIAL MANAGEMENT OFFICE		DATE	
BATCH NUMBER		DATE PROCESSED		INITIALS	

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INSTRUCTIONS

Please type or print legibly. Items 1, 3, 4, 5, 9, 10, 11c, 11e, 11f, 11g, 11h, and 11i, are self-explanatory; specific instructions for other items are as follows:

Item	Entry	Item	Entry
2	Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis.	11a	Enter in "as of date", the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contractors, subgrantees and other payees.
6	Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency.	11b	Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.
7	Not applicable.	11d	Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.
8	Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested. Note: The Federal sponsoring agencies have the option of requiring recipients to complete Items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in Item 11 can be obtained in a timely manner from other reports.	11j	Do not use this section.
11	The purpose of the vertical columns (a), (b), and (c), is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.	12	Do not use this section unless specifically authorized in writing by the cognizant LEAA office.
		13	Complete the certificate before submitting this request.

ADDITIONAL INFORMATION


A. All credit figures will be shown in parenthesis ().

B. Submission on a monthly basis, as needed. Advances shall be requested for only a one month period.

C. Distribution: Original, yellow and pink copies to
U.S. Department of Justice, LEAA
Office of the Comptroller - Control Desk
Washington, D.C. 20531

Green copy to be retained by SPA or other grantees.

APPENDIX 8. GRANT ADJUSTMENT NOTICE

 U.S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		GRANT ADJUSTMENT NOTICE		PAGE ____ OF ____
1. GRANTEE NAME AND ADDRESS (including Zip Code)		3. GRANT NUMBER		
1a. GRANTEE IRS VENDOR NUMBER		4. ADJUSTMENT NUMBER		
2. PROJECT TITLE		5. DATE		
		6. GRANT MANAGER		
SECTION I. DEOBLIGATIONS & REOBLIGATIONS				
7. ACCOUNTING CLASSIFICATION CODE		9. PREVIOUS GRANT AWARD AMOUNT \$ _____		
FISCAL YEAR FUND CODE BUD. ACT. OFC. DIV. REG. SUB. MBO		10. DEOBLIGATION OR REOBLIGATION AMT. \$ _____		
8. DOCUMENT CONTROL NUMBER		11. ADJUSTED AWARD AMOUNT \$ _____		
SECTION II. CHANGES				
12. CHANGE GRANT MANAGER FROM _____ TO _____				
13. CHANGE GRANT PERIOD: FROM _____ TO _____				
SECTION III. OTHER ADJUSTMENTS & INFORMATION				
14.				
15. TYPED NAME AND TITLE OF AUTHORIZED LEAA OFFICIAL		16. SIGNATURE OF AUTHORIZED LEAA OFFICIAL		

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GRANT ADJUSTMENT NOTICE (GAN) INSTRUCTIONS

This form is to be used for adjustments to all grants awarded by the Law Enforcement Assistance Administration (LEAA). Only one grant may be adjusted by a single GAN.

If additional room is needed, use LEAA Form 4040/2A, Grant Adjustment Notice - Continuation Sheet.

Items 1 thru 3 are self-explanatory.

Item 4. Enter the number of this grant adjustment. If a previous GAN is being revised, DO NOT enter the previous adjustment number followed by "REVISED." Instead enter the appropriate next sequential adjustment number.

Item 5. Enter the date of this GAN.

Item 6. Enter the name of the grant manager. If the purpose of the GAN is to change the grant manager (Item 12), enter the name of the new manager.

Section I must be completed if a deobligation or a reobligation is being processed. (A reobligation is a cancellation of a current fiscal year deobligation.) In all other cases, none of the items in Section I are completed.

Item 7 is completed for all deobligations and reobligations.

Item 8. If a deobligation or a reobligation is being processed for a CURRENT FISCAL YEAR grant (i.e., current fiscal year document control number (DC#) on the grant award) then a DC# must be assigned to the GAN by the operating plan holder or his designee. In all other cases, a DC# is not assigned.

Item 9.

- a. If the most recent modification to the amount of the grant was an AWARD (initial or supplemental), then the amount in Item 9 must be the same as the amount in block 11 of the most recent Grant Award (LEAA Form 4000/7).
- b. If the most recent modification to the amount of the grant was a DEOBLIGATION or a REOBLIGATION, then the amount in block 9 must be the same as the amount in block 11 of the relevant GAN.

Item 10. Enter the amount of the deobligation or reobligation. A deobligation should appear in brackets, e.g., (\$10.00).

Item 11.

- a. If the purpose of this GAN is to process a DEOBLIGATION, subtract the amount in block 10 from the amount in block 9 and enter the result.
- b. If the purpose of this GAN is to process a REOBLIGATION, enter the sum of the amounts in blocks 9 and 10.

Items 12 through 16 are self-explanatory.

Dec. 2, 1977

APPENDIX 9

Addresses for mailing Reports of Federal Action
to State Clearinghouses (A-95) and
State Central Information Reception Agencies (TC-1082)

In order to reduce duplicate mailings, each State (except Illinois) has provided a single address for Reports of Federal Action (SF 424). Thus a single report mailed to this address can meet both the Treasury Circular TC 1082 requirement for notifying the State Central Information Reception Agency (SCIRA) and the A-95 requirement for notifying the State Clearinghouse. (NOTE: These common addresses do not serve the local area-wide clearinghouses that A-95 requires to be notified of Federal actions.)

Alabama

Alabama Development Office
State Office Building
Montgomery, Alabama 36104

Connecticut

State Clearinghouse
Office of Intergovernmental Programs
340 Capitol Avenue
Hartford, Connecticut 06115

Alaska

Office of the Governor
Pouch AD, State Capitol
Juneau, Alaska 99801

Delaware

State Planning Office
Thomas Collins Building
530 S. Dupont Highway
Dover, Delaware 19901

Arizona

Office of Economic
Planning and Development
Arizona State Clearinghouse
1700 W. Washington St.
Room 505
Phoenix, Arizona 85007

Florida

Bureau of Intergovernmental
Relations
Division of State Planning
Department of Administration
660 Apalachee Parkway
Tallahassee, Florida 32304

Arkansas

Department of Local Services
State Planning and Development
Clearinghouse
1st National Building, Suite 900
Little Rock, Arkansas 72201

Georgia

Office of Planning and Budget
Attention: Clearinghouse
270 Washington Street, S.W.
Atlanta, Georgia 30334

California

Office of the Governor
Office of Planning and Research
1400 Tenth Street
Sacramento, California 95814

Hawaii

State Clearinghouse:
Department of Planning and
Economic Development
P. O. Box 2359
Honolulu, Hawaii 96804

Colorado

Office of State Planning
and Budgeting
Non-State Funds Section
617 State Services Building
Denver, Colorado 80203

Idaho

Division of Budget, Policy
Planning and Coordination
State House
Boise, Idaho 83720

Illinois (2)

(1) State Clearinghouse:
State Clearinghouse
Bureau of the Budget
524 S. 2nd St., Suite 315
Springfield, Illinois 62706

(2) SCIRA:
State of Illinois
Commission on Intergovernmental
Cooperation
721 State Office Building
Springfield, Illinois 62706

Indiana

State Budget Agency
212 State House
Indianapolis, Indiana 46204

Iowa

Office of Planning and Programming
523 East 12th Street
Des Moines, Iowa 50319

Kansas

Division of Planning and Research
Department of Administration
State Office Building
Topeka, Kansas 66612

Kentucky

State Clearinghouse
Office for Policy and Management
Capitol Annex, Room 209
Frankfort, Kentucky 40601

Louisiana

Office of Intergovernmental Relations
P. O. Box 44455, Capitol Station
Baton Rouge, Louisiana 70804

Maine

Executive Department
Maine State Clearinghouse
184 State Street
Augusta, Maine 04333

Maryland

Department of State Planning
301 W. Preston Street
Baltimore, Maryland 21202

Massachusetts

Office of Federal/State Resources
Room 529
Statehouse
Boston, Massachusetts 02133

Michigan

Department of Management and
Budget
Office of Intergovernmental Relations
Federal Aid Management Division
Lewis Cass Building
Lansing, Michigan 48913

Minnesota

State Clearinghouse
State Planning Agency
Capitol Square Building, Room 101
St. Paul, Minnesota 55101

Mississippi

Coordinator Federal-State Programs
Office of the Governor
400 Watkins Building
510 George Street
Jackson, Mississippi 39201

Missouri

Office of Administration
State Planning and Analysis Division
P. O. Box 809
State Capitol Building
Jefferson City, Missouri 65101

Montana

Montana State Clearinghouse
Office of Budget & Programming
Capitol Station
Helena, Montana 59601

Nebraska

Office of Planning and Programming
Box 94601, State Capitol
Lincoln, Nebraska 68509

Nevada

State Clearinghouse
State Planning Coordinator
State Capitol Building
Carson City, Nevada 89701

New Hampshire

Coordinator of Federal Funds
State House
Concord, New Hampshire 03301

New Jersey
State Clearinghouse
Bureau of State and Regional Planning
Department of Community Affairs
329 W. State Street
P. O. Box 2768
Trenton, New Jersey 08625

New Mexico
State Planning Office
State Capitol
Sante Fe, New Mexico 87501

New York
Federal Relations Unit
State Division of the Budget
State Capitol
Albany, New York 12224

North Carolina
Office of Intergovernmental Relations
116 W. Jones Street
Raleigh, North Carolina 27603

North Dakota
State Planning Division
State Capitol - Ninth Floor
Bismarck, North Dakota 58501

Ohio
Office of Governor
State Clearinghouse
State Office Tower
30 E. Broad Street, 24th Floor
Columbus, Ohio 43215

Oklahoma
State Grant-in-Aid Clearinghouse
5500 N. Western
Oklahoma City, Oklahoma 73118

Oregon
Federal Aid Coordinator
Intergovernmental Relations Division
240 Cottage Street
Salem, Oregon 97310

Pennsylvania
State Clearinghouse
Intergovernmental Relations Division
Governor's Office of Budget
P. O. Box 1323
Harrisburg, Pennsylvania 17120

Rhode Island
Statewide Planning Program
Department of Administration, Rm. 201
265 Melrose Street
Providence, Rhode Island 02907

State of South Carolina
Office of the State Auditor
Contracts and Grants Review Division
P. O. Box 11333
Columbia, South Carolina 29211

South Dakota
State Planning Bureau
State Capitol
Pierre, South Dakota 57501

Tennessee
State Planning Office
Grant Review Section
660 Capitol Hill Building
Nashville, Tennessee 37219

Texas
Governor's Budget and Planning
Office
Executive Office Building
411 West 13th Street
Austin, Texas 78701

Utah
State Planning Coordinator
118 State Capitol Building
Salt Lake City, Utah 84114

Vermont
State Clearinghouse:
State Planning Office
Pavilion Office Building
Montpelier, Vermont 05602

Virginia
Department of Intergovernmental Affairs
Division of State/Federal Relations
205 North Fourth Street
Richmond, Virginia 23219

Washington
Office of Governor
Program Planning and Fiscal Management
House Office Building
Olympia, Washington 98504

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West Virginia

Grant Information Department
Office of Federal-State Relations
State Capitol Building
Charleston, West Virginia 25305

Wisconsin

State Clearinghouse/SCIRA
Department of Administration
Room B-158, State Office Building
1 West Wilson Street
Madison, Wisconsin 53702

Wyoming

State Planning Coordinator
Office of the Governor
Capitol Building
Cheyenne, Wyoming 82001

District of Columbia

Office of Budget and Management
Systems
District Building
14th and E Streets, N.W.
Washington, D. C. 20004

Puerto Rico

Planning Board of Puerto Rico
P. O. Box 41119, Minillas Station
Santurce, Puerto Rico 00940

Virgin Islands

Office of the Governor
P. O. Box 599
St. Thomas, Virgin Islands 00801

Guam

Governor of Guam
Agana, Guam 96910

Samoa

Planning and Budget Office
Government of American Samoa
Pago Pago, American Samoa 96799

Trust Territory

Federal Grants Coordinator
Office of the High Commissioner
Trust Territory of the
Pacific Islands
Saipan, Mariana Islands 96950

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APPENDIX 10. FINANCIAL STATUS REPORT (H-1)

APPROVED: OMB NO. 43-RGS32

FINANCIAL STATUS REPORT (H-1)		No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (34 CFR 258)		1. Federal Agency and Organizational Element U.S. Department of Justice, LEAA		2. Federal Grant No. or Other Ident. No.	
3. Name and Address of Grantee Organization		4. Employer Identification No.		5. Grants Acct. No. or Ident. No.		6. Final Report <input type="checkbox"/> Yes (Complete 12b(3) below) <input type="checkbox"/> No	
8. Project Period (Mo., Day, Yr.)		9. Report Period (Mo., Day, Yr.)		7. Basis of Report		<input type="checkbox"/> Cash <input type="checkbox"/> Accrued Expenditures	
FROM		TO		FROM		TO	
10. STATUS OF FUNDS							
PROGRAMS - FUNCTIONS - ACTIVITIES							
	(1)	(2)	(3)	(4)	(5)	(6)	TOTAL
a. Total outlays previously reported (Line 10a from previous rept.) . . .							
b. Tot. program outlays this period . . .							
c. Less: Program income credits . . .							
d. Net program outlays this period (Line b minus Line c)							
e. Tot. program outlays to date (Sum of Lines a and d)							
f. Less: Non-Federal share of program outlays							
g. Tot. Federal share of program outlays (Line e minus Line f)							
h. Total unpaid obligations							
i. Less: Non-Federal share of unpaid obligations							
j. Fed. share of unpaid obligations (Line h minus Line i)							
k. Tot. Fed. share of outlays and unpaid obligations (Line g plus line j)							
l. Tot. Fed. funds authorized							
m. Unobligated balance of Fed. funds (line l minus line k)							
11. Indirect Expenses - (Mark box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed				12. REMARKS (Attach additional sheets if necessary) - See instructions on Reverse.			
b. Rate		c. Base					
d. Total Amount		e. Federal Share		12a. Planning Grants		12b(1). Block Action Grants	
13. CERTIFICATION - I certify that to the best of my knowledge and belief this report is correct and complete and that all outlays and unpaid obligations are for the purposes set forth in the grant award documents.				(1) Consultant Services \$ _____		Part C \$ _____ Pass Through \$ _____	
				(2) Pass Through \$ _____		Part E \$ _____ Pass Through \$ _____	
Name and Title		TELEPHONE		JJOP \$ _____		Pass Through \$ _____	
Area Code		Number		Ext.			
Signature of Authorized Official		Date Rept. is Submitted		12b(2). Buy-In		12b(3). Block-Final H-1 Rept. - Pt. C.	
				Total Personnel \$ _____		12c. Categorical Grants - Pt. C	
						Total Personnel \$ _____	

LEAA Form 7160/1 (Rev. 10/77) Replaces edition of 6-76 which is obsolete.

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INSTRUCTIONS FOR PREPARING THE FINANCIAL STATUS REPORT

Item 1 - Enter the name of the cognizant LEAA Central Office.

Item 2 - Enter the Federal grant number.

Item 3 - Enter the name and complete mailing address including the ZIP code for the SPA or other grantee organization.

Item 4 - Enter the employer identification number assigned by the U.S. Internal Revenue Service.

Item 5 - Enter "NA" for not applicable.

Items 6 and 7 - Mark the appropriate block.

Item 8 - Enter the month, day, and year of the beginning and ending period of the grant. The ending period should reflect any approved extension date.

Item 9 - Enter the month, day, and year of the beginning and ending dates of the quarter for which this report is prepared.

Item 10 -

Line a. Enter the total outlays reported on Line 10a of the previous report. Show zero, if this is the initial report for the grant.

Line b. Enter the total gross program outlays for this report period, including disbursements of cash realized as program income. For reports which are prepared on a cash basis, outlays are the sum of the grantees actual cash disbursements for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors. For reports prepared on an accrued expenditure basis, outlays are the sum of the grantees actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the grantees for goods and other property received and for services performed by employees, contractors, and other payees. Outlays for Planning Grants include both the outlays made by the SPA for its own operation and outlays reported by the subgrantees.

Line c. The report prepared on a cash basis, enter the amount of cash income received during the quarter which is to be used in the project or program in accordance with the terms of the grant. For reports prepared on an accrual basis, enter the amount of the net increase (or decrease) in the amount of accrued income since the beginning of the report period.

Line d. This amount should be the difference between amounts shown on Lines b and c.

Line e. Enter the sum of amounts shown on Lines a and d above. This amount represents the cumulative outlays to date of both Federal and non-Federal funds.

Line f. Enter the cumulative non-Federal share ("Match") of the program outlays included in the amount of Line e.

Line g. Enter the cumulative Federal share of program outlays. The amount should be the difference between Lines e and f.

Line h. For reports prepared on a cash basis, enter the total amount of unpaid obligations for this grant. Unpaid obligations for Planning Grants consist of unpaid obligations of the SPA for its own operation plus unpaid obligations reported by the subgrantees. For reports prepared on an accrued expenditure basis, enter the amount of undelivered orders and other outstanding obligations. Do not include any amounts that have been included on Lines a through g. On the final report, Line h should have a zero balance.

Line i. Enter the non-Federal share of unpaid obligations included on Line h. On the final report, Line i should have a zero balance.

Line j. Enter the Federal share of unpaid obligations included on Line h. The amount shown on this line should be the difference between the amounts on Lines h and i. On the final report, Line j should have a zero balance.

Line k. Enter the sum of the amounts shown on Lines g and j. If the report is final, the report should not contain any unpaid obligations.

Line l. Enter the total amount of the federal grant.

Line m. Enter the unobligated balance of Federal funds. This amount should be the difference between Lines l and k.

Item 11 - INDIRECT EXPENSE

a. Type of rate - Mark appropriate block.

b. Rate - Enter the rate in effect during the quarter.

c. Base - Enter the amount of the base to which the rate was applied.

d. Total Amount - Enter the total amount of indirect cost charged during the quarter.

e. Federal Share - Enter the amount of the Federal share charged during the report period.

(When reporting on Planning or Block Action Grants, complete only items d and e. Enter "N/A" for items a through c.)

If more than one rate was applied during the project period, include a separate schedule which shows the basis against which the indirect cost rates were applied, the respective indirect rates, the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date. (See Federal Management Circular 74-4 which contains principles for determining allowable costs of grants and contracts with State and local governments.)

Item 12 - Provide the following information, if applicable:

a. Planning Grants

(1) Consultant services - the amount included in Line k for consultant services.

(2) Pass-through - the cumulative amount of awards to subgrantees.

b. Block Action Grants - Parts C, E, and JDP

(1) Pass-through - the cumulative amount of Federal funds subgranted to local units of government. This amount should include subgrants to units of state government for the benefit of local units of government when such a waiver has been granted.

(2) Buy-in - the cumulative amount of State funds provided to local units of government to be used as part of the grantee contribution.

(3) One-third Personnel Limitation - the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel. This is only required to be shown on the final H-1 report.

c. Categorical Grants - Part C

One-third Personnel Limitation - the cumulative amount of Federal funds outlayed for compensation of police and other regular law enforcement personnel.

Item 13 - The contents of this item are self-explanatory.

ADDITIONAL INFORMATION

A. One form 7160/1 required for each grant award.

B. All credit figures will be shown in parenthesis ().

C. Due Date: Quarterly, within 45 days after end of quarter. Final reports are due 90 days after end of grant period or after completion.


D. Distribution: Original, yellow and pink copies to:
U.S. Department of Justice, LEAA
Office of the Comptroller - Control Desk
Washington, D.C. 20531

Green copy to be retained by SPA or other grantee.
Salmon copy (Information Copy)

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APPENDIX 11. Discretionary Grant Progress Report

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 U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION		DISCRETIONARY GRANT PROGRESS REPORT	
GRANTEE	LEAA GRANT NO.	DATE OF REPORT	REPORT NO.
IMPLEMENTING SUBGRANTEE	TYPE OF REPORT <input type="checkbox"/> REGULAR <input type="checkbox"/> SPECIAL REQUEST <input type="checkbox"/> FINAL REPORT		
SHORT TITLE OF PROJECT	GRANT AMOUNT		
REPORT IS SUBMITTED FOR THE PERIOD		THROUGH	
SIGNATURE OF PROJECT DIRECTOR		TYPED NAME & TITLE OF PROJECT DIRECTOR	
COMMENCE REPORT HERE (Add continuation pages as required.)			
RECEIVED BY GRANTEE STATE PLANNING AGENCY (Official)			DATE

PROGRESS REPORTS--INSTRUCTIONS FOR LEAA DISCRETIONARY GRANTS

Grantees are required to submit Progress Reports on project activities and accomplishments. No fixed requirements as to length or detail have been established, although some general guidelines appear below. It is expected that reports will include data appropriate to the stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following should be observed in preparation and submission of progress reports:

- a. **Reporting Party.** The party responsible for preparing the report will be the agency, whether grantee or subgrantee, actually implementing the project. Thus, where a State Planning Agency is the grantee but has subgranted funds to a particular unit or agency to carry on the project, the report should be prepared by the subgrantee.
- b. **Due Date.** Reports are submitted by the subgrantee to its State Planning Agency on a quarterly basis (i.e., as of June 30, September 30, December 31, and March 31) and are due at the cognizant Regional Office on the 30th day following the close of the quarter (unless specified otherwise by LEAA). The first report will be due after the close of the first full quarter following approval of the grant (i.e., for a grant approval on May 1 the first report will be due for the quarter ending September 30. It will cover the five month period May through September). The award recipient's final progress report will be due 90 days following the close of the project or any extension thereof.
- c. **Form and Execution.** Three (3) copies of each report should be submitted. However, five (5) copies must be submitted for all final reports. (If the grantee wishes to submit the same report to several agencies it may utilize LEAA Form 4587/1 (Rev. 9-75) as a face sheet completing all items and attach the report to it.) If continuation pages are needed, plain bond paper is to be used. It should be noted that the report is to be signed by the person designated as project director on the grant application or any duly designated successor and reviewed by the cognizant State Planning Agency.
- d. **Reporting Requirements.** The reporting requirements noted in this section are designed to provide information which permits determination of the extent to which LEAA Discretionary Fund projects are contributing to the overall goals and objectives of the Agency. Reports will be submitted on a quarterly basis, unless otherwise directed. The first report will include, as concisely as possible, the following information elements:
 1. Statement of project goals or objectives in tangible, measurable terms. The goals or objectives should denote the project's impact on the reduction of crime and delinquency, or the improvement of the criminal justice system, or both. Project goals or objectives should be consistent with LEAA's "Management-By-Objectives" planning concepts.
 2. Statement of the problem in measurable terms.
 3. Statement of hypotheses and working assumptions which provide the conceptual foundation and thrust for the project.
 4. Statement of specific indicators and measures to be used to assess the results of the project in terms of both 1 above and intermediate project outputs. Data sources and appropriate collection methods will be noted in this paragraph.
 5. Statement of the results achieved by the project during the first reporting period, utilizing the indicators developed in 4 above.
 6. Statement of significant administrative, budgetary, and programmatic problems confronting the project during the first reporting period. Obstacles to progress are to be noted in concise, frank terms. Major administrative, budgetary, and programmatic developments which are expected to affect the ultimate course and substance of the project will be described as precisely as possible.Subsequent progress reports will be required to address, as appropriate, the information elements contained in paragraphs 4 through 6 above, with the exception of that portion of paragraph 4 dealing with data sources and appropriate collection methods. Special reports, evaluation studies, and publications or articles related to the project which were issued during the reporting period should be attached to the progress report.
- e. **Dissemination.** All three (3) copies of regular progress reports and all five (5) copies of final reports should be submitted to the subgrantee's State Planning Agency. After review the State Planning Agency will forward two (2) copies of the report and four (4) copies of the final report to the cognizant LEAA Regional Office. The Regional Office will route the reports to all interested LEAA units. Copies should also be provided to other agencies cooperating in or providing services to the project.
- f. **Special Requirements.** Special reporting requirements or instructions may be prescribed for discretionary projects in certain program or experimental areas to better assess impact and comparative effectiveness of the overall discretionary program. These will be communicated to affected grantees by LEAA.

APPENDIX 12. FORMAT FOR LEAA QUARTERLY MONITOR REPORT

Part 1 - Heading and Identification (Complete the following blanks)

Grant Name _____ Date _____

Grant Number _____
Grantee _____ Subgrantee _____
Grant Monitor _____

Part 2 - Progress Summary

Based on the grant's implementation plan, briefly assess grant progress.
Are program steps, goals and budget expenditures and obligations progressing
as planned and scheduled?

Part 3 - Schedule Difference/Action Taken

State why the grant is ahead or behind plan and/or schedule and tell what
corrective action is being taken. Indicate when the corrective action
started and when it will be completed and the effect that the action
will have on project goals and the remaining planned and scheduled. A sample
statement follows it is modeled after a crime analysis project which
has experienced a staffing delay:

"The project is one month behind schedule due to a lag of one
month in staff recruiting. Staff are now on board, are trained,
operational and have already produced two crime analysis reports
which have been used to deploy patrol units.

"Because of the staffing delay and its result on personnel compensation, the project is behind its budget projection by approximately \$10,000.

"To resolve the schedule problem on June 30, 1976 the grant period was extended one month. No change in the existing grant budget will be necessary to adjust to the time extension. This action will not affect project goals."

Part 4 - Current Status of Performance and Impact Goals Achievement

State what progress or lack of progress has been made toward performance and impact goals. If goal achievement is behind schedule indicate why, what action is being taken, when the action will be completed and what the effect will be upon future goal achievement.

An example taken from the same crime analysis project model follows:

"The performance goal 'based on current crime analysis reports, deploy patrol units against the three target crimes in districts one, two and three by the end of the 6th project month' has been achieved.

"The impact goal 'reduce rape, purse snatching and armed robbery in districts one, two and three by 2% by the 9th project month' is not completely on schedule. To date, two of the target crimes, rape and purse snatching, are decreasing as anticipated. The third target crime, armed robbery, is not declining as anticipated

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but it has also not increased above average rates. The crime analysis unit, with patrol unit input, is addressing the armed robbery rate by reviewing current and alternative deployment strategies. One of these strategies will be selected and used to deploy units during the 7th project month. The effect upon the armed robbery rate should be felt by the end of the 8th month but even if successful, a 2% decrease in this rate cannot be achieved by the 9th month as planned. The revised goal is for a 2% decrease in the armed robbery rate to occur by the 11th project month."

Part 5 - Comment

Discuss pertinent information about grant progress or performance not covered in other sections of this report which may be relevant to grant/program management and/or program development within LEAA. For example, identify any unexpected effects that the project is having on the criminal justice system, etc.



APPENDIX 13. EXEMPLARY AND PROMISING PROJECTS RECOMMENDATION

APPROVED:
OMB NO. 43-R0578

**EXEMPLARY AND
PROMISING PROJECTS RECOMMENDATION**

I. Project Description

1. Name of the Program

2. Type of Program (ROR, burglary prevention, etc.)

3. Name of Area or Community Served

(a) Approximate total population of area or community served

(b) Target subset of this population served by the project (if appropriate)

No. Served

Period

Population

4. Administering Agency (give full title and address)

(a) Project Director (name and phone number; address only if different from 4 above.)

(b) Individual responsible for day to day program operations (name and phone number)

5. Funding Agency(s) and Grant Number (agency name and address, staff contact and phone number)

6. Project Duration (give date project began rather than date LEAA funding, if any, began)

7. Project Operating Costs (Do not include costs of formal evaluation if one has been performed. See Item 8)

Breakdown of total operating costs, specify time period:

Federal:

State:

Local:

Private:

Total:

Of the above total, indicate how much is:

(a) Start-up, one time expenditures:

(b) Annual operating costs:

(A complete budget breakdown should be included with the attachments to this form)

8. Evaluation Costs (Indicate cost of formal evaluation if one has been performed)

Total Cost	Time Period	Principal Cost Categories
------------	-------------	---------------------------

9. Continuation. Has the project been institutionalized or is it still regarded as experimental in nature? Does its continuation appear reasonably certain with local funding?

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II. Attachments. Please attach the following:**Attachment A - Program Review Memorandum**

This memorandum should contain the following elements:

1. **PROJECT SUMMARY** - brief statement of the project's objectives and methods of operation.
2. **CRITERIA ACHIEVEMENT** - explanation of the degree to which the project meets each of the five Exemplary Project criteria listed below. Be as specific as possible, using the questions that follow each criterion as a guide.

(a) **Goal Achievement.** The project must demonstrate overall effectiveness in the achievement of significant criminal justice objectives.

- (1) Has the project contributed significantly to the reduction of a specific crime or crimes, or produced measurable improvement in the operations and quality of the criminal justice system?

Note: To respond to this criterion, please list each project goal. Under each, cite what you consider to be appropriate evaluation measures. Then describe what evidence actually exists to support your achievement in this area, for example:

Goal: To increase the employment prospects of employees.

Measures: No. of anticipated job placements
Percentage of time employed during the first year after release.

Outcomes: Number of actual placements.
Number employed full time for the first year
Number employed for 50 percent of the first year, etc.

- (2) To your knowledge has the project been generally more successful than other projects which address the same problem?

(b) **Replicability.** The project must be applicable and adaptable to jurisdictions other than the one in which it is operating.

- (1) Does the project address a problem of reasonably common concern?

- (2) Does adequate documentation exist to permit a general understanding of the project's methodology and operations?

- (3) Are there special features that appear principally responsible for the project's success, e.g., concept, methodology, administrative expertise, staff commitment? If superior administration and commitment are the chief factors, to what extent is the program likely to be replicable without these factors?

- (4) What are the restrictions, if any, on size and type of community (e.g., urban vs. rural) for which the program would be appropriate?
- (c) *Measurability.* The achievements of the project must be capable of being objectively measured.
- (1) Is the project still in operation and has it been operating for a long enough time to test its utility? (e.g., at least one year).
- (2) Has the project been evaluated? Please list all efforts, both prior and current, as well as those in the planning stages:
- | Evaluation
Activity | Evaluator | Duration | Available
Documents |
|------------------------|-----------|----------|------------------------|
| Prior | | | |
| Current | | | |
| Planned | | | |
- (3) If there is no formal evaluation procedure, is there objective evidence that the program's goals are being achieved? If so, what is the evidence?
- (d) *Efficiency.* The costs of the project must be reasonable.
- (1) Is there evidence that the project has been cost beneficial, i.e., did the benefits derived from the project justify the expenditures of time, money, and manpower that went into it?
- (2) Were other, cheaper, or more expensive projects considered as ways of addressing the problem?
- (e) *Accessibility.* An outside group of validators must be able to examine the project in detail. If the project is designated exemplary, law enforcement and criminal justice personnel from other locales who may be interested in undertaking similar programs must be able to visit the project and to consult with responsible project staff.
- (1) Is the agency agreeable to having the project submitted for evaluation, publicity, and visitation?
- (2) Is it reasonably certain that the project will continue to exist so that evaluators may collect data; the project can be publicized; and the project can be visited by those who learn of it through the Exemplary Projects Program?
3. *OUTSTANDING FEATURES* - indication of the most impressive feature(s) of the project.

4. **WEAKNESSES** - frank statement of those areas of project operation that could be improved. (It is assumed that a project will not be recommended if there are critical program weaknesses).
5. **DEGREE OF SUPPORT** - indication of the degree of local support, e.g., criminal justice officials, local government officials, citizen groups, the news media.

Attachment B - Endorsements

Each LEAA funded project should have a written endorsement from the appropriate SPA and LEAA Regional Office. Endorsements from other sources may be attached if available.

Attachment C

For LEAA funded projects, attach a copy of the grant application(s), all annual progress reports, and the most recent quarterly reports. If a formal evaluation has been undertaken, this report should also be attached.

For non-LEAA funded projects attach a complete budget breakdown and such progress and evaluation reports as may be available.



APPENDIX 14. GRANT PROGRAM STATUS REPORT

Report Date:

LEAA Program:

Program Manager:

Individual Grants in Program:

Grant Name	Budget	Project and Financial Monitor
1.		
2.		
3.		
4.		

Program/Progress Accomplishments: (Briefly assess the program's progress and its impact/accomplishments to date. Identify any unexpected effect that the program is having on the criminal justice system.

Implementation Problems: (What significant implementation problems are being or were experienced by the program? What is or has caused these problems? What action is or has been taken to solve them? What is the present status of each problem?)

Upcoming Events: (Significant events or products, etc.)



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APPENDIX 15. GRANT PRIORITIZATION/MANPOWER ALLOCATION

GRANT PRIORITIZATION/MANPOWER ALLOCATION - LEAA does not have the staff to intensively monitor every categorical grant. Recognizing this, LEAA offices should prioritize monitoring workload and allocate monitor staff accordingly. A methodology for prioritizing workload and allocating manpower according to each grant's need for monitoring and its program importance follows:

a. Prioritizing Workload. Utilizing the following list of "monitoring need" and "program importance" criteria, weigh each grant to be monitored. These criteria follow:

1. LEAA Program Priority - on a scale from 1 _____
to 10, 10 being the highest priority, how
important is the grant within the context
of the awarding office's and LEAA's goals
and objectives?
2. Size of Grant - on a scale from 1 to 10, _____
10 being the highest score, assign one
point for each \$50,000 of first or
continuation year grant budget.
3. Grantee's Need for Assistance - on a _____
scale from 1 to 10, 10 identifying a
grantee who will most likely need assistance
and 1 identifying a grantee who will most
likely be able to carry out the grant with-
out LEAA's assistance, estimate the grantee's
probable need for assistance.

4. Program Potential for Implementation Problems - on a scale from 1 to 10, rank the grant according to its potential for implementation problems, 10 being the highly complex grant with the greatest potential for problems.

Total Weight

The total weight assigned a grant represents its priority in the office's total workload.

- b. Allocating Staff. The first step in allocating staff according to workload priority is to determine what level of monitoring effort each grant requires. Five levels of monitoring effort have been established and related to grant priority. Each suggests the monitoring effort which should be undertaken by the grant monitor in tracking grants in that category.

Level 1 Monitoring - quarterly on-site visits, monthly telephone surveys of grantee progress.

Level 2 Monitoring - first and third quarter on-site visits, mid-quarter telephone surveys of grantee progress.

Level 3 Monitoring - first quarter on-site visit, third quarter visit to LEAA by grantee (or group monitoring visit), mid quarter telephone surveys.

Level 4 Monitoring - grantee visit to LEAA in first quarter, mid quarter telephone surveys.

Level 5 Monitoring - mid quarter telephone surveys.

The last step in the process, staff allocation, can be

accomplished by matching the grant's total weight with the associated level of monitoring.

The following chart facilitates this process.

<u>Monitoring Level</u>	<u>Grant Weight</u>
Level 1 Monitoring	36 - 40
Level 2 Monitoring	30 - 35
Level 3 Monitoring	20 - 29
Level 4 Monitoring	10 - 19
Level 5 Monitoring	0 - 9

A grant with a total weight of 23 for example would receive Level 3 Monitoring.

Office heads should be wary of the tendency for all grants in their workload to receive a high priority rating and should be prepared to defend such ratings should their resources be inadequate to handle them. Office heads with inadequate staff to accomplish the level of monitoring required by their workload priorities should notify the Deputy Administrator for Administration so that a review of their staff allocation can be made.



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APPENDIX 17. CHECKLIST FOR CATEGORICAL GRANT CLOSE-OUT

Grant No. _____

Title: _____

Monitor: _____

		<u>Date Placed in File</u>	<u>Required (x)</u>
1. Final Progress Report		_____	_____
2. Final Progress Report/Handbooks/Manual to Library: To NCJRS		_____	_____
3. All Special Conditions Satisfied		_____	_____
4. Final Assessment Report by Project Monitor		_____	_____
5. Disposition of Equipment		_____	_____
6. Final Financial Documents			
A. Net Obligations (Award & GAN's)	\$ _____		
B. Net Disbursements (H-2 or H-3 Report)	\$ _____	_____	_____
C. Net Expenditures (H-1 Report)	\$ _____	_____	_____
D. Match Reported (H-1 Report)	\$ _____		
E. Deobligation	\$ _____		
F. Refund	\$ _____		
7. Memo to Project Monitor advising of missing required documents		_____	_____
8. Reminder to grantee of Federal/State record retention requirements		_____	_____
9. Grant Referred to OAI for auditing (if requested by PM)		_____	_____
10. Response from OAI		_____	_____
11. File Labelled "Inactive and dated for Storage (3 years after date of last financial report) DATE INACTIVE _____		DATE TO RETIRE _____	
12. Project Monitor Advised File is Inactive _____			
Prepared by: _____	Reviewed by: _____	Cleared Acct'g _____	



APPENDIX 18

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

PROJECT REVIEW FORM

Grant/Contract # _____

Grant/Contract Title	Grantee/Contractor Name and Address	
Project Director, Address & Phone #	Funding Level This Phase	Total Level
	Project Period This Phase	Total Period

Products

	<u>Title & Author</u>	<u>Date Submitted</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____

Project Monitors

1.	_____	From _____	To _____
2.	_____	From _____	To _____
3.	_____	From _____	To _____

Outside Reviewers

	<u>Name and Title</u>
1.	_____
2.	_____

Staff Reviewers

- | | |
|----------|----------|
| 1. _____ | 3. _____ |
| 2. _____ | 4. _____ |

PUBLICATION RECOMMENDATIONS & APPROVAL

Project Reviewer

Date

Division Director

Date

Office Director

Date

I. FINDINGS AND SUBSTANTIVE QUALITY

1. Grant Managers Assessment Report

Provide a narrative assessment not to exceed 200 words describing the following: problem addressed and major objectives, accomplishments, activities undertaken, principal findings and documents produced. This report will be entered into the LEAA Grant Profile File (PROFILE) to be used by criminal justice planners and LEAA management and staff. For further clarification of the requirements, see LEAA Handbook HB Procedures for Administration of Categorical Grants, chapter 6.

2. Attach a copy of the executive summary of the project. Detail the major findings and recommendations.

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3. Evaluate the report in terms of the soundness of the methodology, the validity and reliability of the data, the quality of the analysis and the appropriateness of the conclusions and recommendations. How do the results relate to other research results of which we are aware (e.g., do they contradict, modify, reinforce, etc.?).

4. Summarize the outside reviews and address any differences between your assessment and those of the reviewers.

5. List the members of the Research Utilization Committee.

6. Taking the views of the Research Utilization Committee into consideration as well as others who reviewed the report, discuss the usefulness of this report in terms of the following issues:
 - a. What implications does the report have in terms of future research efforts?
 - b. What are the implications in terms of future NILECJ program planning? (i.e., technical assistance packages, prescriptive packages, training, further testing and demonstrations?)
 - c. Are there implications for operating agencies? If so, what strategy or strategies should LEAA employ to:
 1. make appropriate agencies aware of these implications?
 2. assist these agencies in deciding whether to implement the findings?
 3. implement the findings?

II. GRANTEE PERFORMANCE

1. Do the products listed on page 1 meet all of the grant's objectives as presented in the proposal or as officially modified during the course of the grant?
YES _____ NO _____ Please explain any discrepancies
2. Rate the grantee/contractors compliance with the administrative reporting requirements of the grant/contract (submission of fiscal and progress reports, etc.)
____ Excellent, attentive to requirements
____ Adequate performance
____ Inadequate - frequent difficulties encountered (Explain)
3. Rate the project director's overall management of the project and the staff independently from the LEAA reporting requirements in #2 above.
____ Excellent
____ Adequate - average number of problems
____ Inadequate - serious and persistent problems encountered (Please explain nature of problems on attached sheet, e.g., lack of coordination, frequent delays, excessive start-up time, lack of cooperation)
4. Is there anything about the performance of the grantee/contractor in accomplishing either the administrative or substantive requirements of the project that should be taken into account by LEAA staff in planning future projects with this grantee/contractor?

III. PRODUCT DISSEMINATION

Grant/Contract No. _____

1. List all written reports produced by the contractor/grantee intended for dissemination and write in next to each all the letters corresponding to the appropriate dissemination activities using the codes below. Note all that apply.

<u>CODE I</u>	<u>CODE II</u>	<u>CODE III</u>
<u>Availability and Publication of Report by Government</u>	<u>Private Publication by Grantee</u>	<u>Methods of Publicizing Report and Findings</u>
A. Reading Room	F. Commercial Printing	J. SNI
B. NCJRS Data Base (including Document Loan Program and Microfiche)	G. Publication by Research Firm	K. Flyer
C. Printing of Enough Copies for Direct Mailing to Specific Persons or Groups (no extra copies for sale)	H. Journal Article	L. Personal transmittal letter with direct mail copy
D. Printing of Sufficient Copies for Direct Mailing and NCJRS Distribution	I. Article in Magazine or Periodical	M. LEAA Newsletter Article
E. Printing and Sale		N. Propose Press Release to PIO
		O. Press Conference
		P. Briefing of Director
		Q. Institute Seminar
		R. National Conference(NILECJ)
		S. Prescriptive Package
		T. Training Workshop
		U. Program Field Test
		V. Other (Specify) _____

<u>Report Title</u>	<u>Proposed Dissemination Activities</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

2. For each report above for which only A (reading room) was recommended, briefly summarize the reasons for that recommendation.
3. For each report above for which C,D,E,K was recommended, please list mailing categories and number of copies required for each per LEAA mailing list. (Instruction 1441.1B, September, 1975). If any additional distribution is recommended, indicate number and attach mailing labels.

4. Are there any articles or privately published reports currently available or soon to be available which were produced under this grant.

_____ No

_____ Yes (if book) publisher's name:


address:

_____ Yes (if article) Name of Publication:

Volume # and Date
of Publication :

5. Is any further editing/revising required for the reports listed on p. 7. (If so, indicate the name(s) of the report and the nature of the editing. Has it been discussed with the grantee? How should the editing best be accomplished?

APPENDIX 19. GRANT PROJECT SUMMARY - GUIDE FOR
WRITING A PROJECT SUMMARY

 <p align="center">U. S. DEPARTMENT OF JUSTICE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION</p>		GRANT PROJECT SUMMARY	
		GRANT NUMBER	
<input 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)		2. PROJECT DIRECTOR (Name, address & telephone number)	
3. TITLE OF PROJECT			
4. NAME & ADDRESS OF GRANTEE		5. NAME & ADDRESS OF SUBGRANTEE	
6. AMOUNT OF AWARD		7. PERIOD OF AWARD	
8. TOTAL PROJECT AMOUNT	9. TOTAL PROJECT PERIOD	10. DATE OF AWARD	
11. SUMMARY DESCRIPTION OF PROJECT			

Guide for Writing a Project Summary

This guide is provided to assist the grant manager in writing a project summary from the information written by the applicant. The project summary conveys information about the nature of the activities of the grant and is included in the LEAA Grant Program File (PROFILE). It should provide an understanding of the project goals and how those goals will be accomplished. The following is a series of statements to be made about the project in order to communicate the most important information concisely.

Since there are several different purposes for LEAA grants (e.g., to provide services, purchase equipment, hire staff, conduct research) some of the topics will not be applicable for inclusion in every project summary. However, you should always include the first three points; the remainder are important for projects which provide services and should be addressed directly. For other types of projects, these remaining points should be included or excluded depending on the type of project being described. You can use up to 1,440 characters (approximately 200 words). Remember: Be specific, concise, clear, informative. When PROFILE reports are prepared, these project summaries are read by such people as criminal justice planners, program evaluators, LEAA managers and staff, members of Congress, other county, state and federal officials, and journalists.

The specific points to be included are:

1. Main objective statement: In a single short, clear and precise phrase describe the primary aim of the project. It should begin with the word "To".
2. Type of project: Indicate one of the following (this might be included in the main objective statement):
 - . On-going - those projects which are a part of the agency or department under which, or for which, they operate (most projects will fall into this category).
 - . Short-term - projects that are temporary in nature, e.g., hiring staff, purchasing equipment, renovating or constructing a building (these would usually run for a year or less).
 - . Experimental/Demonstration - projects that are being tried for the first time or that demonstrate that an idea, technique or product works.
 - . Research/Evaluation - projects that study a specific aspect of the criminal justice field or that evaluate an LEAA project or collection of projects.
3. Methods: Describe what methods the project will use to accomplish its aims. This will be the largest part of the summary and should specifically describe what will happen during the project period (e.g., referring first offenders to social services program, providing volunteers to aid families of inmates, installing street lights, securing jobs and transportation for

100 100 100

offenders in a pre-release program, implementing a videotape system, providing a survival program for 12-15 youths for 4 weeks). When a project uses more than one method of operation, those methods that are most significant should be included (see sample summaries).

Points to be included when appropriate are (as indicated in the last example above, these may be included in methods statements):

4. Client group: Indicate what recipient group will benefit most from the project (e.g., juveniles, ex-offenders, drug abusers, the police department). If it is known, indicate how many people will be served.
5. Employees: Describe the kind of personnel who will be employed and what they will do (this should be general, not a list of the staff). It might be important to include how the project is organized.
6. Relation to other agencies: Indicate how the project interfaces with other agencies or services.
7. Expected products: In some cases a project plans to publish a report or pamphlet or to make a film; this should be indicated and identified.
8. Other details: Include any other statements which will provide additional understanding of who's who and what's what in the day-to-day operation of the project.

CONTINUED

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SAMPLE PROJECT SUMMARIES

Sample 1:

To reduce arrests and incarcerations of teenage runaways by providing a 16-bed runaway house for youths in crisis, and to prevent recidivism by providing a variety of counseling and referral services. Bridge for Runaways, an on-going project, is a temporary home for eight boys and eight girls staffed by an executive director, assistant director, secretary, two counselors, and 24-hour-a-day house parents. Runaway youngsters, who either find the center themselves or are referred by their parents, by police, schools, courts, or other agencies, eat and sleep in the center until the staff reconciles the teenager and his family or finds other permanent living arrangements. Treatment of the youngster in crisis includes individual and group counseling, referral to other agencies and to psychiatrists, follow-up family counseling, and short-term post-termination counseling, as well as job placement and vocational rehabilitation. The various services available are intended to keep runaways out of the county juvenile home.

Sample 2:

To continue intensive, after-hours, community-based probation services in a high-crime area where many public offenders reside by establishing a center staffed with full-time professionals and volunteers. The Athens Sub-Community Center was initially a demonstration project and is now a program in the Department of Corrections. It was established to provide approximately 300 probationers and parolees with evening programs. A full-time staff, including a Probation-Parolee Supervisor and a Correctional Caseworker Aide, is assisted by volunteers. The center is open every day for after working-hours programs in which the clients enroll voluntarily. Programs include individual guidance counseling, group social interaction sessions, community awareness programs, crisis intervention, educational programs, therapeutic skill programs, and recreational involvement. Probationers and parolees usually participate in the programs for the last two years of their sentence. The staff makes contact with the clients about four times per month on the job or at home. Clients are expected to attend the programs and are contacted additionally if they do not report.

Sample 3:

To protect small businesses from burglary by installing and evaluating an on-going system of police-monitored, low-cost, silent burglar alarms. The system consists of simple mechanical switches (an average of seven per location including holdup buttons) connected to the police station through phone lines. The cost is less than \$200 for installation and \$6.50 per month rental for the phone line. The police are operating the system on a self-supporting basis with users paying an additional \$6 monthly fee for maintenance and monitoring by the police department. Much of the system's cost is believed to be offset by savings in police investigative time.

Sample 4:

To construct a humane and safe correctional facility for the county which will reduce the rate of recidivism by providing an atmosphere conducive to rehabilitation. This is a one time only project funding the construction of the county's first modular jail. When completed, the jail will meet all minimum standards set forth by state and federal law. The 9,000-square-foot facility will have a one-level design and will be built in accordance with the architectural plan developed by the National Clearinghouse for Criminal Justice and Architecture of the University of Illinois. The cells, approximately twice the size of the previous jail cells, will have narrow, ultra-tough plexiglass windows, approximately five feet high, instead of jail bars. The new jail will provide recreational facilities and an exercise area for prisoners. The facility is expected to serve as a state and national model.

Sample 5:

To gather data from the state penitentiary as a basis for improving rehabilitation programs and sharing information with other correctional agencies in the state and the nation. A research team consisting of a prison staff psychologist, a researcher, a consultant statistician, and a computer specialist will issue the following computer summaries, monographic surveys, and research reports:

- . Monthly computer-based prisoner summaries and personnel rosters.
- . Comprehensive, computer-based biannual booklet collating inmate statistics, containing 70 items for each of 1,000 inmates.
- . Inmate studies and evaluations, conducted for prison management, predicting which inmates will succeed in various rehabilitation programs.
- . Monthly reports. One prison problem will be researched each month; the resulting report will include information gathered from this and other prisons on remedial solutions, a literature search, and recommendations for rehabilitative programs.

All information gathered will be made available to management personnel in the state prison, and, in summary form, to inmates as well.

APPENDIX 20. APPLICANT'S ENVIRONMENTAL EVALUATION
APPROVED: OMB NO. 43-R0563

APPLICANT'S NAME:

1. Project Description
 - a. Type of grant.
 - b. Type of project.
 - c. Size of project (construction projects only)
 - (1) Cost.
 - (2) Square feet (floor area).
 - (3) Number of occupants (if applicable)
 - d. Location of project.
 - (1) Location in city.
 - (2) Miles from nearest city.
 - (3) Location map.
 - e. Surrounding area.
 - (1) Land use and zoning.
 - (2) Density.
2. Does the proposed action conform to all local, state and Federal plans, policies and controls for the affected area, including the Clean Air Act and the Federal Water Pollution Act of 1972?
3. What alternatives are there to the proposed action.
 - a. Change in location.
 - b. Change in program.
 - c. Postponing action.
4. Environmental effects. Will the implementation of the proposed projects or programs produce the following effects:

APPENDIX 20. (CONT'D)

- a. Lead to a significant increase in air pollution.
 - b. Lead to a significant increase in water pollution.
 - (1) What is the ability of waste water system to meet demand without degrading water quality?
 - (2) How will water supply be affected?
 - c. Lead to a significant increase in ambient noise level for a substantial number of people.
 - d. Lead to poor incompatible land use, soil erosion or soil pollution.
 - e. Destroy or derogate from an important recreation area.
 - f. Substantially alter the pattern or behavior of wildlife or interfere with important breeding, nesting, or feeding grounds.
 - g. Disturb the ecological balance of land or water area, or impact critical areas such as flood plains, wetlands, beaches and dunes unstable soils, steep slopes and aquifer recharge areas.
 - h. Have significant effect upon areas of historical significance, archaeological significance, cultural significance or educational scientific significance.
 - i. Have an adverse aesthetic or visual effect.
 - j. Have a detrimental effect on the safety of the community.
5. Is there opposition to the proposal?
- a. Who?
 - b. Why?

APPENDIX 20. (CONT'D)

6. To be completed by the Regional Clearinghouse (check one).

☐ We have reviewed this assessment and agree that no adverse environmental impact is probable.

☐ Our comments upon the environmental impact are attached.

Date

Signature

Regional Clearinghouse

To be completed by the State Clearinghouse or the appropriate State agency (check one).

☐ We have reviewed this assessment and agree that no adverse environmental impact is probable.

☐ Our comments upon the environmental impact are attached.

Date

Signature

State Clearinghouse or
appropriate agency

Date

Applicant

After evaluation of the above questions it has been determined that:

☐ There are no significant environmental impacts.

APPENDIX 20. (CONT'D)

- [] There may be significant environmental impacts and an environmental statement should be prepared.

Applicant Signature_____

SPA Signature_____

LEAA Official Signature_____

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September 27, 1976

APPENDIX 21. NEGATIVE ENVIRONMENTAL DECLARATION

In accordance with the procedures for the preparation of environmental impact statements, 28 C.F.R. 19, an environmental review has been completed on the proposed agency action below:

"Project Description - [A paragraph will be sufficient to describe the project]

The environmental evaluation forwarded by the applicant does not indicate a significant environmental impact. Accordingly, based upon this review, I hereby find that implementation of the proposal in this grant request will not significantly affect the environment. The proposal does not, therefore, require a detailed environmental impact statement.

The environmental evaluation and supporting material is on file at the above office and is available for examination upon request.

SIGNATURE

TITLE (Appropriate LEAA Office Head)



APPENDIX 22

OFFICE HEAD CERTIFICATION

The following certification shall be made by the office head for each categorical grant, RCA, IAA, and sole source procurement undertaken by the office.

I assure and certify that this * _____,

⊕ _____,

_____, complies with all LEAA

regulations, policies, guidelines and requirements as they relate to my delegated responsibilities for the action being undertaken.

- . The action has merit and relevance to the LEAA program.
- . The technical quality of the supporting documentation is sufficient to support the planned level of evaluation, monitoring or assessment.
- . Funds to be awarded are consistent with the program plan and budget allocated and approved by the Administration.
- . All necessary coordination and clearances with all other appropriate LEAA program and support offices have been obtained.

I certify that I have personally reviewed this * _____ and that to the best of my knowledge there are no issues which should be brought to the attention of the Administration other than those discussed by the memorandum supporting the action recommended.

Signature: _____ Date: _____

* Enter type of action

⊕ Enter title of grant, RCA, IAA, or sole source procurement

Enter OC file number for the action

APPENDIX 23. OFFICE OF THE COMPTROLLER CERTIFICATION

This office has reviewed the financial and grant administration aspects of the attached grant application in accordance with HB 4500.2, Procedures for Administration of Categorical Grants. I certify the financial and grant administration aspects of the application over which this office has cognizance is complete and meets the standards outlined in the referenced Handbook.

Program Office Heads and other personnel involved in the programmatic review of the application have certified the application meets required program standards, policies and procedures by completing the Office Head Certification and Grant Manager's Memorandum.

Signature_____ Date_____



APPENDIX 24: PRIVACY CERTIFICATION

SUGGESTED FORMAT--SAMPLE ONLY

PRIVACY CERTIFICATION

Title of Project

Name of Grantee

The Privacy Certification should contain the following information:

- I. A description of the Research/Statistical component of project (or if this information is contained in the grant proposal, a notation of where in the grant proposal the information is located). If questionnaires are to be utilized, attach copy.
- II. A justification for collection and/or maintenance of data in identifiable form and description of procedures to be followed to preserve anonymity of private persons as required by Sec. 22.23(b)(7).
- III. A description of physical and/or administrative procedures to be followed to insure the confidentiality of data (including procedures for notification of staff and sample staff notification agreement as required by Sec. 22.23(b)(2)).

- IV. A description of the procedures to be used for notification of subjects as required by Sec. 22.23(b)(4), or if such notification is to be waived, pursuant to Sec. 22.27(c) a justification therefore.

Where identifiable information is to be used for non-research or statistical purposes, a sample or description of the Consent Statement to be used, shall be attached.

- V. A sample of the Transfer Agreement to be used for transfer of data in identifiable form. Indicate the name and title of the individual with the authority to transfer data. Also describe any institutional limitations or restrictions applicable to such transfers.
- VI. A description of procedures to be followed for final disposition of data, and where a name index is to be maintained, a description of procedures to secure the index as required by Sec. 22.25(b). Indicate the name and title of the individual authorized to determine the final disposition of data.

The Certification should also contain an assurance such as the following:

Grantee certifies that:

- (1) the information contained above is correct and that the procedures noted above will be carried out;
- (2) the project will be conducted, consistent with all requirements of Sec. 524(a) of the Omnibus Crime Control Act of 1968, as amended, and Regulations promulgated thereunder contained in 28 CFR Part 22;
- (3) LEAA will be notified of any material changes in any of the information supplied above.

Signature of person authorized to sign
for grantee

Signature and title of project director
or other official primarily responsible
for use and maintenance of confidential
data (if same as above, indicate)

Date

Dec. 2, 1977

SUGGESTED FORMAT--SAMPLE ONLY

Information Transfer Agreement

Title of Project for which information was originally compiled, obtained, or used

Name of Individual or Organization to which information is being transferred

LEAA Grant or Contract Number

- Title of Project for which data will be used

The transfer agreement should contain the following information:

- I. A description of the Research/Statistical component of the project and a statement of how the project plan will be designed to preserve the anonymity of private persons to whom the information relates.
- II. An assurance that the recipient of data is familiar with the Department of Justice regulations, (28 CFR Part 22), and agrees to comply with them.
- III. An assurance that information identifiable to a private person that is transferred pursuant to this agreement will be used for research and statistical purposes only and will not be revealed except as allowed under §22.24(b), (e) of the regulations--project findings and reports prepared for dissemination will also not contain such information.
- IV. A description of the administrative and physical precautions that will be taken to assure security of information obtained.
- V. An assurance that the final disposition of the information transferred has been determined by the parties to this agreement and is in accord with §22.24(h). This should include a description of the procedures.

The recipient agrees that any violation of this agreement will constitute a violation of the Department of Justice regulations, and be punishable as such.

Signature of person authorized to transfer this data

Signature of person receiving data and assuming responsibility for its confidentiality and security

END