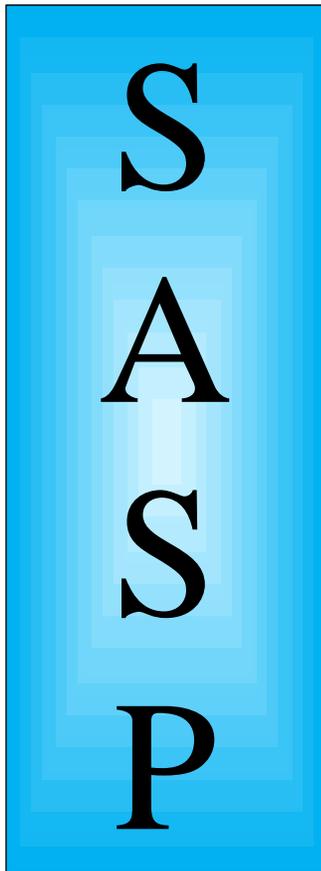




Governor's Grants Program



**FEDERAL SEXUAL
ASSAULT SERVICES
GRANT PROGRAM**

**Calendar Year 2016
Grant Application**

APPLICATION DEADLINE:

**SUBMITTED BY 11:59 p.m. December 15, 2015
ON THE GRANT PORTAL**

For questions regarding application requirements, please contact the
Kansas Governor's Grants Program (KGGP) at 785-291-3205.

Federal Sexual Assault Services Grant Program Guidelines

Eligibility Criteria

The following information provides guidelines for the Federal Sexual Assault Services Grant Program (SASP). The SASP was created by the Federal Violence Against Women and U.S. Department of Justice Reauthorization Act of 2005 (VAWA 2005) as established by 42 U.S.C. §14043g, *et seq.* The purpose of SASP is to provide intervention, advocacy, accompaniment (e.g., accompanying victims to court, medical facilities, police departments), support services, and related assistance to adult, youth, and child victims of sexual assault; family and household members of sexual assault victims; and those collaterally affected by the sexual assault victimization.

This grant program recognizes the need to place increased focus on sexual assault in order to address the lack of available direct intervention and related assistance services and the unique aspects of sexual assault trauma. Women and men of all ages, as well as children, can be victims of sexual assault. The perpetrator can be a relative, acquaintance (e.g., boyfriend/girlfriend, friend, coworker, neighbor), or stranger.

To heal from the trauma, survivors often need support from family and friends, as well as critical direct intervention and related assistance provided by victim-centered social service organizations such as rape crisis centers, through 24-hour sexual assault hotlines, crisis intervention, and medical and criminal justice accompaniment. The SASP supports these services by assisting with the establishment, maintenance, and expansion of rape/sexual assault crisis centers and other nongovernmental or tribal programs dedicated to assisting those affected by sexual assault.

Available grant funds may be awarded to rape crisis centers and other nonprofit, nongovernmental organizations or tribal programs for programs and activities that provide rape and sexual assault services for the defined grant project purposes to victims without regard to the age of the individual. Organizations must serve all sexual assault victims seeking services regardless of age. As a result, providers such as child advocacy centers whose mission is to serve children, are presumed ineligible for SASP funds unless documentation can be provided to demonstrate that the organization serves all ages. Nonprofit organizations must be registered with the Kansas Secretary of State and have proof of exempt status as determined by the Internal Revenue Service.

SASP funds will be awarded to provide direct intervention and related assistance that may include:

- 24-hour crisis intervention services and referrals;
- Accompaniment and advocacy through medical, criminal justice, and social support systems, including medical facilities, law enforcement, and court proceedings;

- Crisis intervention, short-term individual and group support services, and comprehensive service coordination and supervision to assist sexual assault victims and non-offending family or household members;
- Information and referral to assist victims and non-offending family or household members;
- Community-based, linguistically and culturally specific services and support mechanisms, including outreach activities for underserved communities; and
- Development and distribution of materials regarding issues related to the services described above.

Priority will be given to applicants that are rape/sexual assault crisis centers providing direct intervention and related assistance to victims/survivors; to dual programs that provide sexual assault and domestic violence services to enhance the provision of direct intervention and related assistance services tailored for victims of sexual assault; and for projects that increase support for underserved populations.

Applicants are encouraged to allocate grant funds to support activities that help to ensure that individuals with disabilities and Deaf individuals and persons with limited English proficiency have meaningful and full access to programs and services. Applicants proposing to use grant funds to create materials must ensure that they are accessible to persons with disabilities.

Activities That May Compromise Victim Safety

Ensuring victim safety is a guiding principle underlying the SASP grant. Experience shows responses by the authorities may have the effect of minimizing or trivializing the offender's criminal behavior. Accordingly, consistent with the goals of ensuring victim safety while holding perpetrators accountable for the criminal conduct, applicants are strongly discouraged from proposing grant projects that include any activities that may jeopardize victim safety, deter or prevent physical or emotional healing, or allow offenders to escape responsibility for their actions. Such activities include:

- Procedures or policies that exclude victims from receiving safe shelter, advocacy services, counseling, and other assistance based on their actual or perceived age, immigration status, race, religion, sexual orientation, gender identity, mental health condition, physical health condition, criminal record, work in the sex industry, relationship to the perpetrator, or the age and/or gender of their children;
- Procedures or policies that compromise the confidentiality of information and privacy of persons receiving services without the documented consent of the victim;
- Crafting policies that deny individuals access to services based on their relationship to the perpetrator;
- Developing materials that are not tailored to the dynamics of sexual assault or the culturally specific population;
- Crafting policies or engaging in practices that impose restrictive conditions to be met by the victim in order to receive services (e.g., counseling, seeking an order for protection);

- Crafting policies that require the victim to report the sexual assault to law enforcement;
- Couples counseling, family counseling or any other manner of joint victim-offender counseling or mandatory counseling of the victim; and
- Penalizing victims who refuse to testify or promoting procedures that require victims to seek legal sanctions against perpetrators.

Limitations on the Use of Funds

1. Grant funds cannot be used for the following:
 - Sexual assault forensic examiner (SANE) projects;
 - Sexual assault response team (SART) projects;
 - Providing domestic violence services that do not relate to sexual violence;
 - Criminal justice-related projects or activities, including law enforcement, prosecution, courts, or forensic interviews;
 - Prevention programs;
 - Education programs in schools;
 - Training of allied professionals and/or communities;
 - Lobbying;
 - Fundraising (including grant writing);
 - Research projects;
 - Construction and property/land acquisitions;
 - Physical modifications to buildings, including minor renovations (such as painting or carpeting); and
 - Purchase of vehicles.
2. Equipment and hardware are generally unallowable unless necessary and essential to the grant project's success. For purposes of this application and grant program, equipment is defined as assets with a useful life of one year or more and a cost of \$500 or more.
3. The use of grant project funds to pay for costs incurred in applying for, administering, or auditing the grant are not allowed.
4. Items pertaining to the areas of magazine subscriptions, printing or disseminating agency newsletters, membership dues or fees, etc., are not allowed.
5. Funds for training outside the State of Kansas are not allowed unless necessary and essential to the grant project's success. The applicant must demonstrate that comparable training is not available in Kansas. For purposes of this application and program, grant funds will not be used to reimburse mileage expenses in excess of the applicant's approved policy rate or the current federal rate, whichever is lower. If the applicant chooses to reimburse at a rate in excess of this amount, per its agency policy, the applicant should be aware that no grant funds administered by the KGGP may be used to make up the difference.

Misuse of grant funds may result in a range of penalties, including suspension of current and future funds, suspension or debarment from federal grants, recoupment of monies provided under a grant, and civil and/or criminal penalties.

The use of grant project funds is prohibited for grant projects that offer a low probability of improving services to victims of sexual assault as determined by fiscal and grant project compliance reviews.

Supplanting

SASP funds shall be used to supplement, **not** supplant, other federal, state, or local funds that would otherwise be available for victims of sexual assault. The following guidelines should be used in determining the supplanting of funds. Although the examples provided below relate specifically to staffing scenarios, supplanting is not limited to personnel. Supplanting can occur in any budget line item if sufficient documentation cannot support that a SASP grant award has not replaced funds otherwise available for the same program or purpose.

Guidance Regarding Supplanting

Defined: To reduce federal, state, or local funds for an activity specifically because SASP grant funds are available (or expected to be available) to fund that same activity. SASP funds must be used to **supplement** existing federal, state, or local funds for program activities and may not replace federal, state, or local funds that have been appropriated or allocated for the same purpose. Additionally, SASP funds may not replace federal, state, or local funding that is required by law. In instances where a question of supplanting arises, the applicant or subgrantee may be required to substantiate that the reduction in funding from other sources occurred for reasons other than the receipt or expected receipt of SASP funds.

Example 1 Organization A appropriated or otherwise secured funds in FY16 for salary and benefits for three crisis counselors. In FY16, Organization A is awarded SASP funds designated for the hiring of two additional crisis counselors. Organization A expended the SASP award as intended, and now has five crisis counselors.

In this scenario, Organization A has used SASP funds to supplement existing funds for program activities. Thus, supplanting has **not** occurred. If any of the crisis counselors had left the organization during FY16 and Organization A did not follow established recruitment procedures to replace these counselors, or utilized SASP funding for those positions for other purposes, supplanting **would** have occurred.

Example 2 Organization B appropriated or otherwise secured funds in FY15 for salary and benefits for three crisis counselors. Due to budget projections for FY16, Organization B expects to lay off two crisis counselors (facts that Organization B is able to substantiate). In FY16, Organization B is awarded SASP funds

designated for the hiring of one additional crisis counselor. At the beginning of FY16, Organization B lays off one crisis counselor and uses SASP funds to continue the salary and benefits for the other crisis counselor.

In this scenario, Organization B will use SASP funds to pay the salary and benefits for the crisis counselor who would have been laid off but for the availability of SASP funds. Therefore, supplanting has **not** occurred.

Example 3 Organization C appropriates or otherwise secures funds in FY16 for salary and benefits for three crisis counselors. Organization C plans to use SASP funds to pay the salaries of two additional crisis counselors. Subsequently, however, Organization C opts to use two current experienced employees for this effort, and uses SASP funds to pay their salaries and benefits. In so doing, Organization C determined that the remaining employees could handle the services and did not attempt to backfill the positions.

In this scenario, by replacing existing funds with SASP funds, supplanting **has** occurred. Although Organization C may use experienced staff to fill the new SASP-funded crisis counselor positions, use of the SASP funds has not **supplemented** funds for program activities, but has **replaced** those funds through Organization C's decision not to hire replacements for staff designated for SASP-funded activities.

Grant Application Deadline

Grant applications must be submitted via the Grant Portal **by 11:59 p.m. December 15, 2015.** Instructions for submitting applications via the Grant Portal are provided at the end of this document.

Funding Availability and Project Period

The amount of funds available for grant awards is approximately **\$311,400**. Grant projects funded under SASP shall be for a period of 12 months from January 1, 2016 to December 31, 2016. Any funds not expended by December 31, 2016, must be returned to the KGGP.

Grant Recipient Compliance and Reporting Requirements

If SASP grant funds are awarded to the applicant, subgrantees will be expected to comply with the SASP grant program requirements set out in the grant assurances, reporting requirements, and any requirements arising as a result of a compliance review. The KGGP will conduct a compliance review of each SASP grant award. Failure to comply with these requirements may result in suspension or termination of grant funding.

In addition, subgrantees must comply with the provisions of the Federal Office of Management and Budget (OMB) Uniform Guidance for Federal Awards, [2 CFR Part 200](#) and the U.S. Department of Justice, Office of Justice Programs [Federal OJP Financial Guide](#) effective edition, which includes maintaining appropriate programmatic and financial records that fully disclose the amount and disposition of SASP funds. This includes, but is not limited to:

- Financial documentation for disbursements
- Daily time and activity records specifying time and type of service devoted to allowable SASP activities
- Grant project files
- Job descriptions
- Contracts for services
- Statistical documentation
- Other records that facilitate an effective audit and grant analysis for compliance.

Agencies receiving a SASP grant are required to submit the following reports:

- **EEOP** Certification must be current with the U.S. Department of Justice, Office of Justice Programs, Office of Civil Rights.
- **Five Most Highly Compensated Officers** Certification must be submitted to open the award.
- Monthly **Financial Status Report** provides fiscal information on expenditures made during the month. Monthly reimbursements are made based on these expenditure reports. These reports are due 20 calendar days after the end of each month or the first business day.
- Quarterly **Grant Project Narrative Report** provides a narrative description of the activities provided with grant funds. These reports are due 20 calendar days after the end of each calendar quarter or the first business day.
- The **Projection of Final Expenditures Report** is due October 20th or the first business day.
- An **Annual Progress Report** is due 20 days following the end of the grant project period.
- Any other reporting procedures that may be required by the federal government or the KGGP.

Subgrantees submitting late, incorrect, or incomplete reports will not receive payment until the next scheduled payments for grant programs. Repeatedly late reports, failure to submit reports or supporting documentation required by the grant assurances, or failure to respond to compliance review findings in the timeframe provided will result in the suspension of grant funds. The subgrantee must come into compliance with grant requirements before grant funds will be paid.

Copies of all financial and statistical supporting documentation must be maintained by the agency for a period of five years following the closeout of the grant award.

Review of Applications

A grant review committee may assist the KGGP in determining grant awards for the Federal SASP grant program. Applicants will be notified via the Grant Portal of the grant award decision.

What an Application Must Include

Please read the grant requirements and instructions before completing the grant application. Submit the application via the Grant Portal. Visit the [KGGP Resource page](#) for more guidance on specific steps of submitting an application and for detailed [Grant Portal instructions](#). Submit application documents in 12 pt. Times New Roman, number the pages of the Project Narrative, and title each document filename as indicated below. Do not submit any section of the application in landscape format. Do not submit any items not specified in the instructions.

The application must include the following items:

- _____ General Information
- _____ Project Narrative
- _____ Grant Project Budget
- _____ Agency Budgets
- _____ Proof of 501(c)(3) status
- _____ Certificate of Good Standing
- _____ Board of Directors Information
- _____ Federal Certifications

General Information

Applicants must complete the General Information page online. Please note that the language provided in the “Brief Description of Proposed Grant Project” field may be utilized on public websites and documents to describe accomplishments of the grant program.

Project Narrative

The following items must be included in the Project Narrative. Include each item in the order listed below and clearly label each section.

Prior Accomplishments

If the applicant received a 2015 SASP grant award, describe specific agency accomplishments from the previous period that were funded, in whole or in part, by SASP grant funds. Clearly state the 2015 approved Goals and Objectives and report the actual outcomes. Format:

2015 Goal 1 –

2015 Objective 1 –

2015 Actual Outcome -

Provide documented evidence and anecdotal examples that show how SASP-funded goals and objectives were met or how progress was made toward achieving the stated goals and objectives. Provide statistics that document the project's performance and the timeframe represented by those statistics. Include the number of sexual assault victims served by the agency. Describe any evaluations that were conducted, explain the results, and describe how that information will be used to support and enhance the grant project.

Problem Statement and Needs Assessment

The submission of an application presumes there is a definable problem that will be addressed by the requested grant funds. Provide a detailed explanation of the problem that will be addressed, either in whole or in part, with the requested grant funds. Provide data that supports the problem to be addressed in the grant application and site the source of the data provided. Describe how the grant funds will address the problem. Describe any needs assessment that was used to develop the problem statement, such as an evaluation of agency service activity or other assessment. If the applicant is comparing local data to state or national data, include information that either establishes the need locally or describes why the local community is limited in resources to address the problem.

Justification of Need for Grant Funds/Increase Request

All applicants must provide a justification of need for the grant funds requested. This justification must tie the financial need to the described problem statement and needs assessment. If the applicant received a 2015 SASP award, explain why grant funds are needed to support the continuation of the project and why other funds are not available to sustain the project. In addition, if the applicant is requesting a new budget line item or funding increase to line items from the previous grant award, explain the need for additional funds and what additional activities and/or services will be provided. Describe how the increase to or addition of the new line item(s) is not supplanting other funds, per the definition provided on page nine of this document. If the expenses are for existing agency costs or activities, the non-supplanting explanation must include a description of how they were previously supported and why that support cannot continue to be utilized. The applicant must ensure that any request for additional funds outlined in the Project Narrative corresponds to the grant project budget submitted. The applicant should state whether other funds have been sought to support the program and describe the outcome of those efforts.

Grant Project Goal(s) and Objectives

State the goal(s) of the proposed grant project. This should not be the goals of the entire agency, but should be specific to the proposed SASP-supported project. However, the goals for the grant

project should be consistent with the mission and overall goals of the agency, as well as the results of any needs assessment.

List the objectives to be accomplished to achieve each goal listed. Objectives should be specific, measurable, realistic, and consistent with the goals of the grant project and cover a single event or outcome. Include the activities for each objective and explain how each objective will be measured. Please visit the [KGGP Resource page](#) for more guidance on developing goals and measurable objectives.

Example (follow the format below):

Goal I: Increase availability of direct services for victims of sexual assault.

Objective	Activities / Time Frame	Person Responsible
1. 90% of 100 sexual assault victims served will receive face to face services within 24 hours of contacting program.	1. Victims will be contacted by an advocate to assess their needs. January 1, 2016 to December 31, 2016	1. Sexual Assault Advocate
2. Information will be compiled regarding the number of underserved victims of sexual assault.	2. Tracking system developed to monitor underserved populations. No later than April 1, 2016	2. Executive Director
3. The number of sexual assault victims served will increase by 20% over last year, from “XX” to “XX”.	3. Tracking of the number of victims served, baseline data versus increase with SASP funding. January 1, 2016 to December 31, 2016	3. Executive Director

Grant Project Performance Measures and Results

Grant recipients will be required to demonstrate how the grant project was implemented and if the project achieved the results expected based on the data collected and evaluated. Please provide the following information:

- Describe the process for monitoring the grant project.
- Describe what data will be collected.
- Describe how the data collected will be used to ensure the success of the grant project.
- Describe the criteria that will be used to evaluate the activities and/or services provided through the proposed grant project.
- Explain how the proposed objectives will be measured and how it will be determined whether the proposed grant project is effectively and efficiently reaching the proposed goals and objectives.
- Describe what the grant project will achieve.

Grant Project Staff

Provide a list of each staff member to be funded with the grant along with staff who will be responsible for monitoring and evaluating the grant project. Include the name, title, and a brief job description for each staff listed. In addition, describe how this staffing pattern will help meet the goals of the grant project.

Coordinated Community Response Information

Grant funds are maximized when community agencies work together at all levels. Funding priority shall be given to agencies that demonstrate and maintain true collaboration. Applicants should provide the following information:

- Describe how and with what entities the applicant collaborates with or proposes to collaborate with to carry out the grant project.
- Describe any new collaborative efforts that the applicant will undertake during the grant period and the impact the collaboration will have on the grant project.
- Describe how collaboration with units of government and/or with organizations will maximize grant funds.
- Provide a list that includes the point of contact for each agency the applicant will collaborate with during the grant period.
- Describe how SASP funds will fulfill a gap in service and avoid duplication of services or resources in the applicant agency, related agency, or community.

Sustainability

Provide a detailed description that explains what efforts are being made, or will be made, to ensure the long-term fiscal and programmatic sustainability of the project and program. The applicant must detail how the project will be funded in future years if SASP funding declines or is not available.

Underserved Populations

Define the underserved population identified in the applicant's service area, including those that may be underserved because of ethnic, racial or cultural background, language diversity, persons with disabilities, or geographic isolation. Use local data to support the populations identified as underserved. Provide the applicant's plan, including a description of the specific steps that will be taken by the applicant, to provide outreach and services to the underserved populations.

Dissemination of Crime Victims' Rights Information

Describe the applicant's written procedures for assisting victims of crime in seeking available crime victims' compensation benefits and informing crime victims of their rights as provided by law. The procedures must detail how victims will be informed of their statutory rights as provided in K.S.A. 74-7333 and amendments thereto.

Statement of Non-Duplication of Proposed Grant Project

The applicant must affirm that the activities proposed in the grant project are not already adequately provided to residents in the service area. If similar services are provided, explain how the grant project will enhance or expand and not duplicate current services.

Civil Rights Contact Information

Applicants must include the name, address, and telephone number of the civil rights contact person who is responsible for ensuring that all applicable civil rights requirements are met and who will act as liaison in civil rights matters.

DUNS Number and SAM Registration

Applicants must provide the agency's DUNS number and SAM expiration date. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, simple, one-time activity. Obtain one by calling 1-866-705-5711 or by applying online at <http://www.dnb.com/us>. In addition, applicants shall ensure that the agency has "active" status in the U.S. System for Award Management (SAM) at <http://www.sam.gov> prior to submitting a SASP application.

Current Audit Report

All applicants **must** provide information on when the organization's most recent audit was completed, who performed the audit, what period it covered, and where the audit is filed.

If the KGGP has **not** previously received a copy of the organization's most recent audit report and IRS Form 990, both items must be forwarded by U.S. Mail to: Kansas Governor's Grants Program, Landon State Office Building, 900 SW Jackson, Room 304 North, Topeka, KS 66612-1220. Include with the audit the Auditor's Letter to Management if applicable. If there are any findings and/or recommendations in the audit report or in the Letter to Management, explain how the findings and/or recommendations were, or will be, addressed by the applicant.

Grant Project Budget

The applicant must submit a grant project budget that is reasonable and cost effective. All grant project-specific budget information is completed online within the provided data fields of the Grant Portal. No *grant project* budgetary documents are uploaded as part of the application. See the detailed instructions that are appended to the end of this document for submitting the budget on the Grant Portal.

Requested line items must be clearly linked to the proposed activities to be conducted in achieving the goals and objectives of the project. The budget must adhere to allowable costs and activities as outlined in the SASP solicitation, Federal Office of Management and Budget (OMB) Uniform Guidance for Federal Awards, [2 CFR Part 200](#), and the U.S. Department of Justice, Office of Justice Programs [Federal OJP Financial Guide](#) effective edition.

A detailed calculation and brief narrative explanation must be provided in the Description field of each line item. Calculations shall clearly demonstrate how the requested amounts were derived. Personnel must be listed by the agency-assigned title for the position. Positions should be classified as "New" *only if* the requested position would be a new position for the agency. Personnel and associated fringe benefit costs must be demonstrated in terms of full compensation

and the percentage of time to be devoted to the SASP grant project for each position requested. Training events and other travel costs must be specifically identified to the extent possible. Following are examples of descriptions that might be used for line item requests. Please visit the [KGGP Resource page](#) for more guidance.

Advocate	\$31,980	“Full-time, 40 hrs/wk; employees scheduled to receive a 5% raise on July 1 st : (\$15.00/hr x 1,040 hrs) + (\$15.75 x 1,040 hrs)”
Advocate	\$23,985	“Full-time, salaried, 75% of time on project; employees scheduled to receive a 5% raise on July 1 st : (\$31,200 x .5 year) + (\$32,760 x .5 year) x .75 of time”
Conferences/ Workshops	\$ 840	“Crime Victims’ Rights Conference, April 2016, Topeka: (\$100 registration x 2 staff) + (200 miles x \$.50/mile x 1 vehicle) + (\$90/night x 2 nights x 2 staff) + (\$30/day meals x 3 days x 2 staff)”

Current and Next Fiscal Year Agency Budgets

Upload the applicant’s current and next fiscal year budgets, including balanced **income and expenses**. Include the fiscal period utilized by the agency. List all staff positions separately with their respective salaries/wages. If the applicant is under the umbrella of a larger entity, submit the budget developed for the applying program. Agency income must list **all** sources of financial support (i.e. foundations, government agencies, fund-raising events, individual contributions). For each income source, state the amount and its status (received, requested, committed, or projected). If the income is requested or projected, state the date the program expects to be notified of the funding decision or the date the program anticipates collecting the income. Include the appropriate pro-rated portion of this grant application request as budgeted income with a “requested” status. Also, be sure that all line items requested in this application can be found in the agency’s budget for expenses.

Example of budget income only:

<u>Agency’s Fiscal Year July 1, 2015-June 30, 2016</u>			
<u>SOURCE</u>	<u>AMOUNT</u>	<u>STATUS</u>	<u>DATE</u>
City of Topeka	\$10,000	Projected	1/16
United Way	5,000	Received	9/15
Walk-A-Thon	500	Collected	8/15
SASP ‘15-GOV	15,000	Received	12/14
SASP ‘16-GOV	<u>17,500</u>	Requested	11/15
Total Agency Income	\$48,000		

***Note:** -Budget expenses are also required.
-Repeat for Next Fiscal Year.

Proof of 501(c)(3) Status

Upload as an attachment proof of the applicant's exempt status as determined by the Internal Revenue Service.

Certificate of Good Standing

Upload as an attachment a current (less than one year old) copy of the applicant's Certificate of Good Standing from the Kansas Secretary of State's Office, available by calling (785) 296-4564 or visiting the [Kansas Secretary of State website](#).

Board of Directors

Upload as an attachment a current list of the organization's Board of Directors. The attachment must include each board member's name, profession, address, phone number, email address (if available), and the member's term of service.

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

The applicant must read, sign, and upload the two-page required certification form regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements. The certification form is appended to the end of this document.



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

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

1. LOBBYING

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

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

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

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

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

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

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

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

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

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

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

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

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

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

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

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

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

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

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

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date
