

**U.S. Department of Justice**  
Office of Justice Programs  
*Office for Victims of Crime*



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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office for Victims of Crime](#) (OVC) is seeking applications for funding under the Fiscal Year (FY) 2017 Victims of Crime Act (VOCA) Victim Assistance Formula Grant Program. This program furthers the Department's mission by providing grants to support the provision of services to victims of crime throughout the Nation.

## **OVC FY 2017 VOCA Victim Assistance**

**Applications Due: July 18, 2017**

### **Eligibility**

All states, the District of Columbia, Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands are eligible to receive an annual VOCA victim assistance formula grant. Eligible agencies that receive VOCA victim assistance formula grant funds must meet the eligibility requirements specified in VOCA, 42 U.S.C. § 10603 (b).

### **Deadline**

Applicants must register in the [OJP Grants Management System \(GMS\)](#) prior to submitting an application under this solicitation. All applicants must register, even those that previously registered in GMS. Select the "Apply Online" button associated with the solicitation title. All registrations are due by 5:00 p.m. eastern time on July 18, 2017, and applications are due by 11:59 p.m. eastern time on July 18, 2017.

For additional information, see [How to Apply](#) in [Section D. Application and Submission Information](#).

### **Contact Information**

For technical assistance with submitting an application, contact the Grants Management System Support Hotline at 888-549-9901, option 3, or via email at [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov). The [GMS](#) Support Hotline operates 24 hours a day, 7 days a week, including on federal holidays.

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must email the OVC contact identified below **within 24 hours after the application deadline** in order to request approval to submit its application after the deadline. For information on reporting technical issues, see "Experiencing Unforeseen GMS Technical Issues" under [How to Apply](#) in [Section D. Application and Submission Information](#).

For assistance with any other requirements of this solicitation, contact your designated OVC Program Specialist at 202-307-5983.

Release date: June 19, 2017

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# OVC FY 2017 VOCA Victim Assistance (CFDA #16.575)

## A. Program Description

### Overview

Under this solicitation, OVC will award each eligible state and territory victim assistance program an annual grant to support eligible crime victim assistance programs in that state or territory. Eligible crime victim assistance programs are those that are “operated by a public agency or nonprofit organization, or a combination of such agencies or organizations or of both such agencies and organizations, and provide services to victims of crime,” and that meet the other requirements set out in 42 U.S.C. § 10603 (b)(1). Services generally include those efforts that (1) respond to the emotional, psychological, or physical needs of crime victims, (2) help victims of crime to stabilize their lives after a victimization, (3) help victims to understand and participate in the criminal justice system, and (4) restore a measure of security and safety for the victim.

**Statutory Authority:** This grant program is authorized and funded by the Victims of Crime Act of 1984 (42 U.S.C. § 10603(a) and (b)).

### Program-Specific Information

For federal fiscal year (FY) 2017, the amount available to OVC for obligation from the Crime Victims Fund is \$2.237 billion. This is the third year a significant amount will be available to crime victim assistance programs.

OVC recognizes that while states and territories have the sole discretion for how grant funds will be spent, they must meet the requirements of VOCA, the Victim Assistance program rules, and the DOJ Financial Guide. States and territories determine which organizations will receive subgrants. The increased Crime Victims Fund allocation, however, provides an opportunity to address long-standing challenges to reach and serve all crime victims, address staffing concerns in the field, and allow states and territories to fund programs that otherwise would not receive funding.

Additionally, crime victims often face numerous barriers to accessing services. OVC’s [\*Vision 21: Transforming Victim Services Final Report\*](#) found that services are often unavailable, inadequate, or difficult to access. For underserved victims and marginalized populations—including boys and young men of color, American Indian and Alaska Native victims, victims with disabilities, older victims, victims in detention settings, youth and women who are victims of human trafficking, undocumented immigrants, people with limited English proficiency, and individuals who identify as lesbian, gay, bisexual, transgender, or queer or questioning (LGBTQ)—access to services can be particularly challenging. Access to services for these victims can be curtailed by a host of complicating factors such as social isolation, fear of stigma, poverty, jurisdictional issues, geography, immigration status, mistrust of the criminal justice system, abuse by a family member or caregiver, homelessness, and cultural, language, and communication obstacles. VOCA sets, as a priority, funding for a broad category of underserved victims and marginalized populations. OVC encourages states and territories to fund organizations that serve previously underserved victims and marginalized populations to increase their access to appropriate services. Each state or territory grantee may use its own criteria for determining the method for identifying “previously underserved” crime victims.

The increased funding for FY 2017 will result in increased administrative funds, which offer states and territories an opportunity to revise their data collection technology to comply with OVC's updated data collection and performance measurement requirements. It also provides an opportunity to conduct strategic planning. The victim services field reports that ad hoc planning is ineffective to achieve long-term, system-wide goals. Strategic planning is necessary to develop collaboration among service providers throughout a state or region and to support coordinated responses to deep-rooted problems. This coordinated planning process should unite state agencies, victim assistance coalitions, other stakeholders and allies who advocate for or serve victims, and subrecipients to maximize resources and avoid duplicative efforts. OVC encourages states to develop strategic plans on a state and/or regional basis, and to conduct surveys and needs assessments to determine further service gaps. For general information on strategic planning, please visit [www.navaa.org/sp/index.html](http://www.navaa.org/sp/index.html).

The OVC Training and Technical Assistance Center (TTAC) is available to provide comprehensive training, technical assistance, and other in-person and online support to assist the victim services field in building its collective capacity to serve crime victims. OVC TTAC can assist with strategic planning, needs assessments, and subgrantee training. OVC TTAC also customizes training and technical assistance to fit the specific needs of victim service organizations and maintains a diverse network of skilled consultants to support capacity-building programs and activities.

The OVC VOCA Administrators Mentoring Program is designed to assist and support state administering agency personnel in developing and retaining the critical knowledge and skills required to successfully operate and manage a state or territory VOCA compensation or assistance program. OVC provides funding for training and technical assistance to cover the costs associated with sending a mentee state administrator to a mentor state administering agency, or vice versa, to help develop their skills, knowledge, and abilities. Administrators may seek assistance in developing financial and program manuals, planning and organizing statewide training, establishing program standards, implementing and/or upgrading advanced technologies, utilizing administrative dollars, streamlining the application process, developing needs assessments, developing public-private partnerships, providing outreach to unserved and underserved populations, and monitoring subgrantees.

If you need additional information about OVC TTAC, please contact your Victim Justice Program Specialist or your OVC TTAC Regional Training and Technical Assistance (RTTA) Specialist. RTTA Specialists perform outreach and coordinate capacity-building efforts within assigned regions. They collaborate with state VOCA administrators in an effort to build relationships with victim service providers and leaders in their region, develop a thorough understanding of state and provider needs, and work across states to develop opportunities for capacity building. These state-level conversations lead to wider dissemination of information about OVC and OVC TTAC's services and uncover unanticipated needs that require innovative responses.

OVC will continue to provide the opportunity for you to discuss issues and challenges, both programmatic and financial administration, with your program specialist and OVC management.

OVC issued the [final rule for its VOCA Formula Victim Assistance Grant Program](#) on August 8, 2016. The final rule provides clarity and allows more flexibility in the programs that states and territories are able to support, such as expanded forms of legal assistance and services to incarcerated victims, as well as VOCA-funded projects to support transitional housing.

### **Goals, Objectives, and Deliverables**

Funds under this program shall be used by states and territories to support eligible crime victim assistance programs that provide direct services to crime victims with the following exception: states and territories may retain up to five percent of their total grant for administrative and training purposes. All states and most territories receive an annual VOCA victim assistance grant. Each state, the District of Columbia, the U.S. Virgin Islands, and Puerto Rico receive a base amount of \$500,000. The territories of the Northern Mariana Islands, Guam, and American Samoa each receive a base amount of \$200,000. Additional funds are distributed to states and territories based on population according to the U.S. Census Bureau.

The goals, objectives and deliverables are directly related to the performance measures set out in [Section D. Application and Submission Information](#), under "Program Narrative."

### **Evidence-Based Programs or Practices**

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- Improving the quantity and quality of evidence OJP generates
- Integrating evidence into program, practice, and policy decisions within OJP and the field
- Improving the translation of evidence into practice

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. The OJP [CrimeSolutions.gov](http://CrimeSolutions.gov) website is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

## **B. Federal Award Information**

OVC expects to make up to 56 awards in accordance with VOCA. The performance period for these grants will be October 1, 2016, through September 30, 2020.

All awards are subject to the availability of appropriated funds, and to any modifications or additional requirements that may be imposed by law.

### **Type of Award**

OVC expects that any award under this solicitation will be in the form of a grant. See [Administrative, National Policy, and Other Legal Requirements](#), under [Section F. Federal Award Administration Information](#), for a brief discussion of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants.

## **Financial Management and System of Internal Controls**

Award recipients and subrecipients (including recipients or subrecipients that are pass-through entities<sup>1</sup>) must, as described in the Part 200 Uniform Requirements<sup>2</sup> as set out at 2 C.F.R. 200.303:

- (a) Establish and maintain effective internal control over the federal award that provides reasonable assurance that [the recipient (and any subrecipient)] is managing the federal award in compliance with federal statutes, regulations, and the terms and conditions of the federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States and the “Internal Control Integrated Framework”, issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with federal statutes, regulations, and the terms and conditions of the federal awards.
- (c) Evaluate and monitor [the recipient’s (and any subrecipient’s)] compliance with statutes, regulations, and the terms and conditions of federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.
- (e) Take reasonable measures to safeguard protected personally identifiable information and other information the federal awarding agency or pass-through entity designates as sensitive or [the recipient (or any subrecipient)] considers sensitive consistent with applicable federal, state, local, and tribal laws regarding privacy and obligations of confidentiality.

To help ensure that applicants understand administrative requirements and cost principles, OJP encourages prospective applicants to enroll, at no charge, in the DOJ Grants Financial Management Online Training, available [here](#).

## **Budget Information**

### **Cost Sharing or Match Requirement**

This program does not require a match. However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

### **Pre-Agreement Costs (also known as Pre-Award Costs)**

Pre-agreement costs are costs incurred by the applicant prior to the start date of the period of performance of the grant award.

OJP does **not** typically approve pre-agreement costs; an applicant must request and obtain the prior written approval of OJP for all such costs. All such costs incurred prior to award and prior

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<sup>1</sup> For purposes of this solicitation, the phrase “pass-through entity” includes any recipient or subrecipient that provides a subaward (“subgrant”) to carry out part of the funded award or program.

<sup>2</sup> The “Part 200 Uniform Requirements” means the DOJ regulation at 2 C.F.R Part 2800, which adopts (with certain modifications) the provisions of 2 C.F.R. Part 200.

to approval of the costs are incurred at the sole risk of the applicant. (Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs.) Should there be extenuating circumstances that make it appropriate for OJP to consider approving pre-agreement costs, the applicant may contact the point of contact listed on the title page of this solicitation for the requirements concerning written requests for approval. If approved in advance by OJP, award funds may be used for pre-agreement costs, consistent with the recipient's approved budget and applicable cost principles. See the section on Costs Requiring Prior Approval in the [DOJ Grants Financial Guide](#), for more information.

### **Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs**

OJP strongly encourages every applicant that proposes to use award funds for any conference-, meeting-, or training-related activity (or similar event) to review carefully—before submitting an application—the OJP and DOJ policy and guidance on approval, planning, and reporting of such events, available at

<http://www.ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most conference, meeting, and training costs for cooperative agreement recipients, and some conference, meeting, and training costs for grant recipients; and (3) set cost limits, which include a general prohibition of all food and beverage costs.

### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services, where appropriate.

For additional information, see the "Civil Rights Compliance" section under "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the [OJP Funding Resource Center](#).

## **C. Eligibility Information**

For eligibility information, see the title page.

For information on cost sharing or match requirements, see [Section B. Federal Award Information](#).

## **D. Application and Submission Information**

### **What an Application Should Include**

This section describes in detail what an application should include. An applicant should anticipate that if it fails to submit an application that contains all of the specified elements, it may negatively affect the review of its application; and, should a decision be made to make an award, it may result in the inclusion of award conditions that preclude the recipient from accessing or using award funds until the recipient satisfies the conditions and OJP makes the funds available.

Please review the “Note on File Names and File Types” under [How to Apply](#) to be sure applications are submitted in permitted formats.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet and Budget Narrative,” “Timelines,” “Memoranda of Understanding,” “Resumes”) for all attachments. Also, OJP recommends that applicants include resumes in a single file. **Do not just number attachments.**

### 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. GMS takes information from the applicant’s profile to populate the fields on this form.

To avoid processing delays, an applicant must include an accurate legal name on its SF-424. Current OJP award recipients, when completing the field for “Legal Name,” should use the same legal name that appears on the prior year award document which is also the legal name stored in OJP’s financial system. On the SF-424, enter the Legal Name in box 5 and Employer Identification Number (EIN) in box 6 exactly as it appears on the prior year award document. An applicant with a current, active award(s) must ensure that its GMS profile is current. If the applicant’s profile is not current, the applicant should submit a Grant Adjustment Notice updating the information on its GMS profile prior to applying under this solicitation.

A new applicant entity should enter the Official Legal Name and address of the applicant entity in box 5 and the EIN in box 6 of the SF-424. An applicant must attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3)) to confirm the legal name, address, and EIN entered into the SF-424.

**Intergovernmental Review:** This solicitation (“funding opportunity”) is **not** subject to [Executive Order 12372](#). (In completing the SF-424, an applicant is to answer question 19 by selecting the response that the “Program is not covered by E.O. 12372.”)

### 2. A Statement Regarding Use of Administrative and Training Funds

Due to the increase in VOCA Victim Assistance Formula grant awards in FY 2017, administrative and training funds will also increase. OVC expects states and territories to use part of their additional administrative funds to support technology enhancements that will enable them to comply with OVC’s updated data collection requirements. Applicants must provide a preliminary plan for expenditure of administrative and training funds.

### 3. Certification of State Eligibility Requirements Statement

(Hint: Copy and use the statement below.) Each applicant must provide written certification that—

- it **complies with and will comply with** the requirements of 42 U.S.C. 10603(a)(2) (applicable provisions of VOCA), and 28 C.F.R. Part 94, Subpart B (the [VOCA Assistance Program rule](#)), and will require sub-recipient compliance with these requirements, as applicable (see 28 C.F.R. 94.111 to 94.122). See 28 C.F.R. 94.103.
- award funds will be used only to provide services to victims of crime, except for a maximum of 5 percent that may be used for administration and training. See 28 C.F.R. 94.107.

- award funds will not be used to supplant state and local public funds that would otherwise be available for crime victim services, or state funds that would otherwise be available for purposes of administering the state victim assistance program. See 28 C.F.R. 94.108.

The applicant will allocate a minimum of 40 percent of the total grant to the 3 priority victim categories (sexual assault, domestic violence, and child abuse) and underserved victims of violent crime by sub-awarding at least 10 percent to each of 4 categories. Underserved victims of violent crime are designated by the state administering agency by the type of crime or demographic characteristics of the victim, or both. This requirement may be waived upon a showing of good cause by the applicant. See 28 C.F.R. 94.104.

- it will maintain fund accounting, auditing, and other records, as necessary, to assure fiscal control, proper fund management, and efficient disbursement of funds received under the VOCA victim assistance program. See Financial Management and System of Internal Controls, above.
- it will maintain documentation describing its methodology for selecting sub-recipients. See 28 C.F.R. 94.104(e).
- it will provide OVC with the name of a 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 with the Office of Justice Programs (OJP) Office for Civil Rights.
- it certifies that no person shall on the ground of race, color, religion, national origin, disability, or sex be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in connection with, any undertaking funded in whole or in part with award funds. See 42 U.S.C. 10604(e).
- it will submit the required programmatic and financial reports on the use of award funds by the OVC deadlines.
- it will promptly notify OVC and the federal cognizant audit agency of any illegal acts or irregularities (e.g., conflicts of interest, falsification of records or reports, misappropriation of funds/assets), and proposed or actual actions, relevant to the award funds, if any.
- it will comply with (and assist OVC in implementing its responsibilities under) the National Historic Preservation Act (NHPA). Specifically, the grantee will establish and maintain records when reviewing and considering any request for use of grant funds that involve proposed renovation work. Renovation work includes altering or otherwise improving the exterior or interior of a structure. This applies to proposed renovation work that is not only specifically funded with OVC victim assistance grant funds, but this requirement also applies if funded by the grantee or any third party as a prerequisite to accommodate the proposed use of the grant funds. The grantee must certify to OVC that the grantee has established and maintains records of any proposed renovation work on a structure that is less than 50 years old or 50 years and older.

If the structure is determined to be less than 50 years old and this fact is documented in the grant file, no further action is required. If any portion of the structure is 50 years or older, the grantee is required to contact the State Compensation and Assistance Division Director at 202–307–5983 to provide information needed for the NHPA consultation process. This may include assisting OVC in consulting with the State Historic Preservation Officer and amending the proposed renovation work to avoid any potential adverse impact to the historic structure. The grantee assures not to fund any proposed renovation of a structure 50 years or older until the grantee has received written approval from OVC.

#### **4. A Statement Regarding Applicant’s Plan for Collecting the Data Required for this Solicitation’s Performance Measures**

OJP will require each successful applicant to submit specific performance measures data as part of its reporting under the award (see “[General Information about Post-Federal Award Reporting Requirements](#)” in [Section F. Federal Award Administration Information](#)). The performance measures correlate to the goals, objectives, and deliverables identified under “[Goals, Objectives, and Deliverables](#)” in [Section A. Program Description](#).

The application should describe the applicant's plan for collection of all of the performance measures data listed in the questionnaires below, should it receive funding. Award recipients are required to provide relevant data by submitting quarterly performance metrics through OVC’s online Performance Measurement Tool (PMT), located at <https://ovcpmt.ojp.gov/>. Applicants should examine the complete list of performance measures in the questionnaires below:

- [Victim Assistance – Subgrant Award Report \(SAR\)](#)
- [Victim Assistance – Subgrantee Performance Measures Report](#)
- [Victim Assistance – Grantee Report](#)

OVC does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that OVC will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss what they have done to comply and when they expect to fully comply, should they receive funding.

#### **5. Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status)**

**Every** applicant (other than an individual applying in his/her personal capacity) is to download, complete, and submit the [OJP Financial Management and System of Internal Controls Questionnaire](#) as part of its application.

Among other things, the form requires each applicant to disclose whether it currently is designated “high risk” by a federal grant-making agency outside of DOJ. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the applicant’s past performance, or other programmatic or financial concerns with the applicant. If an applicant is designated high risk by another federal awarding agency, the applicant must provide the following information:

- The federal awarding agency that currently designates the applicant high risk.

- The date the applicant was designated high risk.
- The high-risk point of contact at that federal awarding agency (name, phone number, and email address).
- The reasons for the high-risk status, as set out by the federal awarding agency.

OJP seeks this information to help ensure appropriate federal oversight of OJP awards. An applicant that is considered “high risk” by another federal awarding agency is not automatically disqualified from receiving an OJP award. OJP may, however, consider the information in award decisions, and may impose additional OJP oversight of any award under this solicitation (including through the conditions that accompany the award document).

**6. Disclosure of Lobbying Activities**

An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#).

**7. Applicant Disclosure of Pending Applications**

Each applicant is to disclose whether it has (or is proposed as a subrecipient under) any pending applications for federally funded grants or cooperative agreements that (1) include requests for funding to support the same project being proposed in the application under this solicitation, and (2) would cover all identical cost items outlined in the budget submitted to OJP as part of the application under this solicitation. The applicant is to disclose applications made directly to federal awarding agencies, and also applications for subawards of federal funds (e.g., applications to State agencies that will subaward (“subgrant”) federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Each applicant that has one or more pending applications as described above is to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency
- The solicitation name/project name
- The point of contact information at the applicable federal or State funding agency

<b>Federal or State Funding Agency</b>	<b>Solicitation Name/Project Name</b>	<b>Name/Phone/Email for Point of Contact at Federal or State Funding Agency</b>
DOJ/Office of Community Oriented Policing Services (COPS)	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health and Human Services/Substance Abuse and Mental Health Services Administration	Drug-Free Communities Mentoring Program/North County Youth Mentoring Program	John Doe, 202/000-0000; john.doe@hhs.gov

Each applicant should include the table as a separate attachment to its application. The file should be named "Disclosure of Pending Applications." The applicant Legal Name on the application must match the entity named on the disclosure of pending applications statement.

Any applicant that does not have any pending applications as described above is to submit, as a separate attachment, a statement to this effect: "[Applicant Name on SF-424] does not have (and is not proposed as a subrecipient under) any pending applications submitted within the last 12 months for federally funded grants or cooperative agreements (or for subawards under federal grants or cooperative agreements) that request funding to support the same project being proposed in this application to OJP and that would cover all identical cost items outlined in the budget submitted as part of this application."

#### **8. Statement Regarding Plan to Subgrant Funds**

Applicants must describe the process used to make subgrants with the increased FY 2016 funding and describe the process that will be used to award FY 2017 funding. Applicants should describe the following:

- Efforts to identify additional needs for victim services in the state or territory.
- How subawards will be made, including the extent to which new awards will be made and the extent to which awards to existing subgrantees will be increased. If a strategic plan has already been developed that covers part of the planning for VOCA funds, please submit the plan with the application.
- Any planning process that is underway or anticipated with regard to providing victim assistance in the state or territory.
- VOCA requires that states and territories ensure that sub-recipients meet certain organizational capacity requirements, see 28 C.F.R. 94.112(b); 42 U.S.C. 10603(b)(1)(B), by showing a record of effective services to victims of crime and financial support from non-Crime Victims Fund sources, or substantial financial support from non-Crime Victims Fund sources. Given the amount of funding available this year, OVC encourages states to fund organizations that have not traditionally received VOCA funds, in addition to those that have traditionally been funded, that can demonstrate the capacity and expertise to provide direct services, especially to underserved and marginalized victim populations. Describe how this is accomplished in your jurisdiction.

It is understood that the plan for FY 2017 is a preliminary plan that may change as the planning process unfolds.

Applicants will make subawards to eligible organizations. Sub-recipients are to provide match in accordance with the Victim Assistance Program Rule. OVC may waive the match requirement, all or in part, as provided in the Rule, if need is documented by the state VOCA administrator. See 28 C.F.R. 94.118.

#### **9. Information on Proposed Subawards (if any), and on Proposed Procurement Contracts (if any)**

Applicants for OJP awards typically may propose to make "subawards." Applicants also may propose to enter into procurement "contracts" under the award.

Whether—for purposes of federal grants administrative requirements—a particular agreement between a recipient and a third party will be considered a "subaward" or instead considered a procurement "contract" under the award is determined by federal rules and applicable OJP guidance. It is an important distinction, in part because the federal administrative rules and requirements that apply to "subawards" and procurement "contracts" under awards differ markedly.

In general, the central question is the relationship between what the third-party will do under its agreement with the recipient and what the recipient has committed (to OJP) to do under its award to further a public purpose (e.g., services the recipient will provide, products it will develop or modify, research or evaluation it will conduct). If a third party will provide some of the services the recipient has committed (to OJP) to provide, will develop or modify all or part of a product the recipient has committed (to OJP) to develop or modify, or conduct part of the research or evaluation the recipient has committed (to OJP) to conduct, OJP will consider the agreement with the third party a subaward for purposes of federal grants administrative requirements.

This will be true **even if** the recipient, for internal or other non-federal purposes, labels or treats its agreement as a procurement, a contract, or a procurement contract. Neither the title nor the structure of an agreement determines whether the agreement—for purposes of federal grants administrative requirements—is a "subaward" or is instead a procurement "contract" under an award.

Additional guidance on the circumstances under which (for purposes of federal grants administrative requirements) an agreement constitutes a subaward as opposed to a procurement contract under an award, is available (along with other resources) on the [OJP Part 200 Uniform Requirements](#) web page.

**i. Information on proposed subawards**

A recipient of an OJP award may not make subawards ("subgrants") unless the recipient has specific federal authorization to do so. Unless an applicable statute or DOJ regulation specifically authorizes (or requires) subawards, a recipient must have authorization from OJP before it may make a subaward.

A particular subaward may be authorized by OJP because the recipient included a sufficiently detailed description and justification of the proposed subaward in the application as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not sufficiently described and justified in the application as approved by OJP, the recipient will be required, post-award, to request and obtain written authorization from OJP before it may make the subaward.

If an applicant proposes to make one or more subawards to carry out the federal award and program, and those subawards are not specifically authorized (or required) by statute or regulation, the applicant should (1) identify (if known) the proposed subrecipient(s), (2) describe in detail what each subrecipient will do to carry out the federal award and federal program, and (3) provide a justification for the subaward(s), with details on pertinent matters such as special qualifications and areas of expertise.

(Note: The Victims of Crime Act, 42 U.S.C. 10603(a)(1), specifically authorizes subawards, so specific authorization by OJP of those subawards is not required for this program.)

**ii. Information on proposed procurement contracts (with specific justification for proposed noncompetitive contracts over \$150,000)**

Unlike a recipient contemplating a subaward, a recipient of an OJP award generally does not need specific prior federal authorization to enter into an agreement that—for purposes of federal grants administrative requirements—is considered a procurement contract, **provided that** (1) the recipient uses its own documented procurement procedures and (2) those procedures conform to applicable federal law, including the Procurement Standards of the (DOJ) Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326).

The Procurement Standards in the Part 200 Uniform Requirements, however, reflect a general expectation that agreements that (for purposes of federal grants administrative requirements) constitute procurement “contracts” under awards will be entered into on the basis of full and open competition. If a proposed procurement contract would exceed the simplified acquisition threshold—currently, \$150,000—a recipient of an OJP award may not proceed without competition, unless and until the recipient receives specific advance authorization from OJP to use a noncompetitive approach for the procurement.

An applicant that (at the time of its application) intends—without competition—to enter into a procurement contract that would exceed \$150,000 should include a detailed justification that explains to OJP why, in the particular circumstances, it is appropriate to proceed without competition. Various considerations that may be pertinent to the justification are outlined in the [DOJ Grants Financial Guide](#).

**10. Monitoring of Subawards**

Please describe your monitoring activity of subawards in 2016.

**11. List of Staff Members Whose Salary is Paid with VOCA Victim Assistance Administrative Funds**

Please provide a complete list of each assistance staff person whose salary is paid for with VOCA Victim Assistance Formula grant administrative funding. Please list the person’s name, title, and the percentage of funding supported with VOCA victim assistance funds. If your program does not use administrative funds to support staff salaries, please indicate this in your attachment.

**12. Indirect Cost Rate Agreement (if applicable)**

Applicants’ indirect costs are limited by the statutory cap on administrative and training costs. See 28 C.F.R. 94.107; 94.109. The total amount of indirect costs charged cannot exceed the amount prescribed by VOCA for training and administration.

Indirect costs may be charged to an award only if:

- a) The recipient has a current (that is, unexpired), federally approved indirect cost rate; or
- b) The recipient is eligible to use, and elects to use, the “de minimis” indirect cost rate described in the Part 200 Uniform Requirements, as set out at 2 C.F.R. 200.414(f).

**An applicant with a current (that is, unexpired) federally approved indirect cost rate is to attach a copy of the indirect cost rate agreement to the application.** An applicant that does not have a current federally approved rate may request one through its cognizant federal agency, which will review all documentation and approve a rate for the applicant entity, or, if the applicant's accounting system permits, applicants may propose to allocate costs in the direct cost categories.

For assistance with identifying the appropriate cognizant federal agency for indirect costs, please contact the OCFO Customer Service Center at 800–458–0786 or at [ask.ocfo@usdoj.gov](mailto:ask.ocfo@usdoj.gov). If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at [www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf](http://www.ojp.gov/funding/Apply/Resources/IndirectCosts.pdf).

Certain OJP recipients have the option of electing to use the "de minimis" indirect cost rate. An applicant that is eligible to use the "de minimis" rate that wishes to use the "de minimis" rate should attach written documentation to the application that advises OJP of both—(1) the applicant's eligibility to use the "de minimis" rate, and (2) its election to do so. If an eligible applicant elects the "de minimis" rate, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. The "de minimis" rate may no longer be used once an approved federally negotiated indirect cost rate is in place (No entity that ever has had a federally approved negotiated indirect cost rate is eligible to use the "de minimis" rate.).

### **How to Apply**

An applicant must submit its application through the [Grants Management System \(GMS\)](#), which provides support for the application, award, and management of awards at OJP. Each applicant entity **must register in GMS for each specific funding opportunity**. Although the registration and submission deadlines are the same, OJP urges each applicant entity to **register promptly**, especially if this is the first time the applicant is using the system. Find complete instructions on how to register and submit an application in GMS at [www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/). An applicant that experiences technical difficulties during this process should email [GMS.HelpDesk@usdoj.gov](mailto:GMS.HelpDesk@usdoj.gov) or call 888–549–9901 (option 3), 24 hours every day, including during federal holidays. OJP recommends that each applicant **register promptly** to prevent delays in submitting an application package by the deadline.

**Note on File Types: GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: ".com," ".bat," ".exe," ".vbs," ".cfg," ".dat," ".db," ".dbf," ".dll," ".ini," ".log," ".ora," ".sys," and ".zip."

Every applicant entity must comply with all applicable System for Award Management (SAM) and unique entity identifier (currently, a Data Universal Numbering System [DUNS] number) requirements. If an applicant entity has not fully complied with applicable SAM and unique identifier requirements by the time OJP makes award decisions, OJP may determine that the applicant is not qualified to receive an award and may use that determination as a basis for making the award to a different applicant.

All applicants should complete the following steps:

- 1. Acquire a unique entity identifier (currently, a DUNS number).** In general, the Office of Management and Budget requires every applicant for a federal award (other than an

individual) to include a "unique entity identifier" in each application, including an application for a supplemental award. Currently, a DUNS number is the required unique entity identifier.

A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. This unique entity identifier is used for tracking purposes, and to validate address and point of contact information for applicants, recipients, and subrecipients. It will be used throughout the life cycle of an OJP award. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1–2 business days.

- 2. Acquire registration with SAM.** SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Each applicant must **update or renew its SAM registration at least annually** to maintain an active status. SAM registration and renewal can take as long as 10 business days to complete.

Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

- 3. Acquire a GMS username and password.** New users must create a GMS profile by selecting the "First Time User" link under the sign-in box of the [GMS](http://www.ojp.gov/gmscbt) home page. For more information on how to register in GMS, go to [www.ojp.gov/gmscbt](http://www.ojp.gov/gmscbt). Previously registered applicants should ensure, prior to applying, that the user profile information is up-to-date in GMS (including, but not limited to, address, legal name of agency and authorized representative) as this information is populated in any new application.
- 4. Verify the SAM (formerly CCR) registration in GMS.** OJP requires each applicant to verify its SAM registration in GMS. Once logged into GMS, click the "CCR Claim" link on the left side of the default screen. Click the submit button to verify the SAM (formerly CCR) registration.
- 5. Search for the funding opportunity on GMS.** After logging into GMS or completing the GMS profile for username and password, go to the "Funding Opportunities" link on the left side of the page. Select "OVC" and "OVC FY 2017 VOCA Victim Assistance."
- 6. Register by selecting the "Apply Online" button associated with the funding opportunity title.** The search results from step 5 will display the "funding opportunity" (solicitation) title along with the registration and application deadlines for this solicitation. Select the "Apply Online" button in the "Action" column to register for this solicitation and create an application in the system.
- 7. Follow the directions in GMS to submit an application consistent with this solicitation.** Once the application is submitted, GMS will display a confirmation screen stating the submission was successful. **Important:** In some instances, applicants must wait for GMS approval before submitting an application. OJP urges each applicant to submit its application **at least 72 hours prior** to the application due date.

#### **Note: Application Versions**

If an applicant submits multiple versions of the same application, OJP will review only the most recent system-validated version submitted.

### **Experiencing Unforeseen GMS Technical Issues**

An applicant that experiences unforeseen GMS technical issues beyond its control that prevent it from submitting its application by the deadline must contact the [GMS Help Desk](#) or the [SAM Help Desk](#) (Federal Service Desk) to report the technical issue and receive a tracking number. The applicant must email the OVC contact identified in the Contact Information section on the title page **within 24 hours after the application deadline** to request approval to submit its application after the deadline. The applicant's email must describe the technical difficulties, and must include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any GMS Help Desk or SAM tracking number(s).

**Note: OJP does not automatically approve requests to submit a late application.** After OJP reviews the applicant's request, and contacts the GMS Help Desk to verify the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the untimely application submission was due to the applicant's failure to follow all required procedures, OJP will deny the applicant's request to submit its application.

The following conditions generally are insufficient to justify late submissions:

- Failure to register in SAM or GMS in sufficient time (SAM registration and renewal can take as long as 10 business days to complete).
- Failure to follow GMS instructions on how to register and apply as posted on the GMS website.
- Failure to follow each instruction in the OJP solicitation.
- Technical issues with the applicant's computer or information technology environment, such as issues with firewalls.

## **E. Application Review Information**

### **Review Process**

OJP is committed to ensuring a fair and open process for making awards. OVC reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation. OVC will also review applications to ensure that statutory requirements have been met.

Pursuant to the Part 200 Uniform Requirements, before awards are made, OJP also reviews information related to the degree of risk posed by applicants. Among other things, to help assess whether an applicant that has one or more prior federal awards has a satisfactory record with respect to performance, integrity, and business ethics, OJP checks whether the applicant is listed in SAM as excluded from receiving a federal award.

In addition, if OJP anticipates that an award will exceed \$150,000 in federal funds, OJP also must review and consider any information about the applicant that appears in the non-public segment of the integrity and performance system accessible through SAM (currently, the Federal Awardee Performance and Integrity Information System; "FAPPIIS").

**Important note on FAPIIS:** An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIIS, in its assessment of the risk posed by applicants. The evaluation of risks

goes beyond information in SAM, however. OJP itself has in place a framework for evaluating risks posed by applicants. OJP takes into account information pertinent to matters such as—

1. applicant financial stability and fiscal integrity.
2. quality of the management systems of the applicant, and the applicant's ability to meet prescribed management standards, including those outlined in the DOJ Grants Financial Guide.
3. The applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), and awards from other federal agencies.
4. reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. the applicant's ability to comply with statutory and regulatory requirements, and to effectively implement other award requirements.

Absent explicit statutory authorization or written delegation of authority to the contrary, the Assistant Attorney General will make all final award decisions.

## **F. Federal Award Administration Information**

### **Federal Award Notices**

Award notifications will be made by September 30, 2017. OJP sends award notification by email through GMS to the individuals listed in the application as the point of contact and the authorizing official. The email notification includes detailed instructions on how to access and view the award documents, and steps to take in GMS to start the award acceptance process. GMS automatically issues the notifications at 9:00 p.m. eastern time on the award date.

For each successful applicant, an individual with the necessary authority to bind the applicant will be required to log in; execute a set of legal certifications and a set of legal assurances; designate a financial point of contact; thoroughly review the award, including all award conditions; and sign and accept the award. The award acceptance process requires physical signature of the award document by the authorized representative and the scanning of the fully executed award document to OJP.

### **Administrative, National Policy, and Other Legal Requirements**

If selected for funding, in addition to implementing the funded project consistent with the OJP-approved application, the recipient must comply with award conditions, as well as all applicable requirements of federal statutes, regulations, and executive orders (including applicable requirements referred to in the assurances and certifications executed at the time of award acceptance). OJP strongly encourages prospective applicants to review information on post-award legal requirements and common OJP award conditions **prior** to submitting an application.

Applicants should consult the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)," available in the [OJP Funding Resource Center](#). In addition, applicants should examine the following two legal documents, as each successful applicant must execute both documents before it may receive any award funds.

- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#)

- [Standard Assurances](#)

The web pages accessible through the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" are intended to give applicants for OJP awards a general overview of important statutes, regulations, and award conditions that apply to many (or in some cases, all) OJP grants and cooperative agreements awarded in FY 2017. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute, program, or solicitation under which the award is made; to the substance of the funded application; to the recipient's performance under other federal awards; to the recipient's legal status (e.g., as a for-profit entity); or to other pertinent considerations.

### **General Information About Post-Federal Award Reporting Requirements**

In addition to the deliverables described in [Section A. Program Description](#), any recipient of an award under this solicitation will be required to submit the following reports and data.

Required reports. Recipients typically must submit quarterly financial reports, quarterly performance measures, final financial and performance measures, and, if applicable, an annual audit report in accordance with the Part 200 Uniform Requirements or specific award conditions. Future awards and fund drawdowns may be withheld if reports are delinquent. (In appropriate cases, OJP may require additional reports.)

Awards that exceed \$500,000 will include an additional condition that, under specific circumstances, will require the recipient to report (to FAPIIS) information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either the OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Additional information on this reporting requirement appears in the text of the award condition posted on the OJP web site at <http://ojp.gov/funding/FAPIIS.htm>

Data on performance measures. In addition to required reports, each recipient of an award under this solicitation also must provide data that measure the results of the work done under the award. To demonstrate program progress and success, as well as to assist DOJ with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, OJP will require any recipient, post award, to provide the data in the questionnaires listed under [Section D. Application and Submission Information](#), under "Program Narrative," so that OJP can calculate values for this solicitation's performance measures.

## **G. Federal Awarding Agency Contact(s)**

For OJP Contact(s), see the title page.

For contact information for GMS, see the title page.

## **H. Other Information**

### **Freedom of Information Act and Privacy Act (5 U.S.C. §§ 552 and 552a)**

All applications submitted to OJP (including all attachments to applications) are subject to the federal Freedom of Information Act (FOIA) and to the Privacy Act. By law, DOJ may withhold information that is responsive to a request pursuant to FOIA if DOJ determines that the

responsive information either is protected under the Privacy Act or falls within the scope of one of nine statutory exemptions under FOIA. DOJ cannot agree in advance of a request pursuant to FOIA not to release some or all portions of an application.

In its review of records that are responsive to a FOIA request, OJP will withhold information in those records that plainly falls within the scope of the Privacy Act or one of the statutory exemptions under FOIA. (Some examples include certain types of information in budgets, and names and contact information for project staff other than certain key personnel.) In appropriate circumstances, OJP will request the views of the applicant/recipient that submitted a responsive document.

For example, if OJP receives a request pursuant to FOIA for an application submitted by a nonprofit or for-profit organization or an institution of higher education, or for an application that involves research, OJP typically will contact the applicant/recipient that submitted the application and ask it to identify—quite precisely—any particular information in the application that applicant/recipient believes falls under a FOIA exemption, the specific exemption it believes applies, and why. After considering the submission by the applicant/recipient, OJP makes an independent assessment regarding withholding information. OJP generally follows a similar process for requests pursuant to FOIA for applications that may contain law enforcement-sensitive information.

#### **Provide Feedback to OJP**

To assist OJP in improving its application and award processes, OJP encourages applicants to provide feedback on this solicitation, the application submission process, and/or the application review process. Provide feedback to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

**IMPORTANT:** This email is for feedback and suggestions only. OJP does **not** reply to messages it receives in this mailbox. A prospective applicant that has specific questions on any program or technical aspect of the solicitation **must** use the appropriate telephone number or email listed on the front of this solicitation document to obtain information. These contacts are provided to help ensure that prospective applicants can directly reach an individual who can address specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please email your resume to [ojppeerreview@lmsolas.com](mailto:ojppeerreview@lmsolas.com). (Do not send your resume to the OJP Solicitation Feedback email account.) **Note:** Neither you nor anyone else from your organization or entity can be a peer reviewer in a competition in which you or your organization/entity has submitted an application.

**Application Checklist  
OVC FY 2017 VOCA Victim Assistance**

This application checklist has been created as an aid in developing an application.

**What an Applicant Should Do:**

*Prior to Registering in GMS:*

- \_\_\_\_\_ Acquire a DUNS Number (see page 16)
- \_\_\_\_\_ Acquire or renew registration with SAM (see page 17)

*To Register with GMS:*

- \_\_\_\_\_ For new users, acquire a GMS username and password\* (see page 17)
- \_\_\_\_\_ For existing users, check GMS username and password\* to ensure account access (see page 17)
- \_\_\_\_\_ Verify SAM registration in GMS (see page 17)
- \_\_\_\_\_ Search for correct funding opportunity in GMS (see page 17)
- \_\_\_\_\_ Select correct funding opportunity in GMS (see page 17)
- \_\_\_\_\_ Register by selecting the "Apply Online" button associated with the funding opportunity title (see page 17)
- \_\_\_\_\_ Read OJP policy and guidance on conference approval, planning, and reporting available at [ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm](http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm) (see page 8)
- \_\_\_\_\_ If experiencing technical difficulties in GMS, contact OVC (see title page)

\*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contact designated within GMS at the time the account was established. Neither OJP nor the GMS Help Desk will initiate a password reset unless requested by the authorized official or a designated point of contact associated with an award or application.

**Overview of Post-Award Legal Requirements:**

- \_\_\_\_\_ Review the "[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2017 Awards](#)" in the OJP Funding Resource Center.

**Scope Requirement:**

- \_\_\_\_\_ The Federal amount requested is consistent with the FY 2017 VOCA Victim Assistance allocation.

**Eligibility Requirement:** See the title page.

**What an Application Should Include:**

- \_\_\_\_\_ Application for Federal Assistance (SF-424) (see page 9)
- \_\_\_\_\_ A Statement Regarding Use of Administrative and Training Funds (see page 9)
- \_\_\_\_\_ Certification of State Eligibility Requirements Statement (see page 9)
- \_\_\_\_\_ A Statement Regarding Applicant's Plan for Collecting the Data Required for this Solicitation's Performance Measures (see page 11)
- \_\_\_\_\_ Financial Management and System of Internal Controls Questionnaire (including applicant disclosure of high-risk status) (see page 11)

_____	Disclosure of Lobbying Activities ( <a href="#">SF-LLL</a> )	(see page 12)
_____	Applicant Disclosure of Pending Applications	(see page 12)
_____	Statement Regarding Plan to Subgrant Funds	(see page 13)
_____	Monitoring of Subawards	(see page 15)
_____	List of Staff Members Whose Salary is Paid with VOCA Assistance Administrative Funds	(see page 15)
_____	Indirect Cost Rate Agreement (if applicable)	(see page 15)