

ANNOUNCEMENT OF REQUEST FOR PROPOSALS
for
ANTI-DRUG ABUSE ACT OF 1988 (EDWARD BYRNE MEMORIAL FUND)
administered by the
Illinois Criminal Justice Information Authority

GENERAL INFORMATION

Project Purpose: The Anti-Drug Abuse Act of 1988 created the Edward Byrne Memorial State and Local Law Enforcement Assistance Program to assist states in funding programs that combat drug and violent crime. This federal fund is administered in Illinois by the Illinois Criminal Justice Information Authority (Authority). Data analysis and testimony gathered in preparation of the 1997 *Illinois Multi-Year Strategy to Combat Drug and Violent Crime*, indicated recent increases in direct federal funding of law enforcement across Illinois has resulted in dramatically increased workloads for prosecution, public defense, probation, and local jails. In response to this information, the Authority designated \$670,775 in federal fiscal year 1997 Anti-Drug Abuse Act funds to implement programs which address this increased pressure on mid-system agencies through this Request for Proposals. Collaborative programs involving two or more units of local government will be given preference.

Project Duration: A maximum of 12 months, beginning on or about June 1, 1999.

Funding beyond the initial period, up to a total of 48 months, is dependent on performance and the availability of funds.

Available Funds: A maximum of \$670,775 is available for these projects. Funds will be allocated among multiple projects depending on the number and quality of responses received. The total federal award to each project will be no larger than \$150,000 and no smaller than \$37,500. Grant funds may not be used for more than 75% of the total cost of the project. The remaining portion of the project costs must be met through a cash contribution by the project agency from non-federal sources. These funds are a portion of a federal grant to the Illinois Criminal Justice Information Authority from the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice.

Match: Grant funds may not be used for more than 75% of the total cost of the project. The remaining portion of the project costs must be met through a cash match contribution by the applicant agency from non-federal sources. **Matching funds must be new dollars, not the reassignment of existing personnel or resources to the proposed program.**

Eligibility: Mid-system agencies of local government located **north** of Illinois Route 80 are eligible to submit proposals. Preference will be given to collaborative projects which include two or more agencies of local government. County jails,

sheriff's departments and municipal law enforcement may not be funded individually. These agencies may only be funded in collaboration with prosecution, defense, and/or probation services, as detailed in Part VIII of the RFP.

To receive the necessary application materials, applicants must either:

- Download proposal materials from the Authority website at **www.icjia.state.il.us**
- Call the Authority 1-888-425-4248 to request proposal materials
- Fax a request to the Authority at 312/793-8422
- Write the Authority to request proposal materials at:

Illinois Criminal Justice Information Authority
120 S. Riverside Plaza, Suite 1016
Chicago, Illinois 60606
Attention: Maureen Brennan

Proposal Deadline: Proposals must be received by the Authority by 12:00 p.m., noon, on February 1, 1999. Facsimile transmissions will not be accepted. Late proposals will not be accepted. To be accepted for consideration, proposals must meet the requirements set forth in the Request for Proposal (RFP).

Questions: Voice mail messages with questions regarding this RFP may be recorded by contacting the Authority's toll free number at 1-888-425-4248. Grants staff will respond to all messages by phone within 2 business days.



**ILLINOIS
CRIMINAL JUSTICE
INFORMATION AUTHORITY**

120 South Riverside Plaza • Suite 1016 • Chicago, Illinois 60606 • (312) 793-8550

Northern RFP Timelines

Date	Activity
Mon., 12/14/98	RFP approved
Wed., 12/16/98	RFP released
Mon., 02/01/99	Proposals due back
Wed., 02/03/99	Proposals to panels
Wed., 02/24/99	Review panels conducted
Fri., 02/26/99	Budget mailing
Fri., 03/12/99	Designation
06/01/99	Programs begin

REQUEST FOR PROPOSALS
for
ANTI-DRUG ABUSE ACT OF 1988 (EDWARD BYRNE MEMORIAL FUND)
administered by the
Illinois Criminal Justice Information Authority

PART I: OVERVIEW

The Anti-Drug Abuse Act of 1988 created the Edward Byrne Memorial State and Local Law Enforcement Assistance Program to assist states in funding programs that reduce and prevent crime, violence, and drug abuse. This federal fund is administered in Illinois by the Illinois Criminal Justice Information Authority (Authority). Data analysis and testimony gathered in preparation of the 1997 *Illinois Multi-Year Strategy to Combat Drug and Violent Crime* indicated recent increases in direct federal funding of law enforcement across Illinois have resulted in dramatically increased workloads for prosecution, public defense, court services, and local jails. In response to this information, the Authority designated \$670,775 in federal fiscal year 1997 Anti-Drug Abuse Act funds to be allocated through this Request for Proposals to mid-system agencies of local government north of Illinois Route 80. Collaborative programs involving two or more mid-system agencies of local government will be given preference.

The programs funded through this process may not focus solely on the purchase of equipment. Rather, funded projects must focus on the implementation of programs and strategies that address a clearly defined problem related to increased stress on mid-system criminal justice agencies. Construction is not an allowable expense.

Proposal development must carefully follow the requirements set forth in the following sections.

Proposals must:

- A. Be as concise as possible, yet include all required details and address the requirements set forth herein;
- B. Use language that is clear to persons who are not expert in the field of criminal justice; and
- C. Clearly and fully explain how the applicant intends to fulfill RFP requirements.

PART II: BACKGROUND

The Illinois Criminal Justice Information Authority is the state agency charged with the administration of Anti-Drug Abuse Act (Byrne Memorial Formula Grant) funds. The program is supported by annual appropriations from Congress to the Bureau of Justice Assistance, Office of Justice Programs, U.S Department of Justice. The formula grant awarded to Illinois is based on population. A minimum of 64.51% of the Byrne award must be passed through to local units of government. A key requirement of this award is the development of the statewide strategy to improve the functioning of the criminal justice system in Illinois.

Byrne funds must be spent to combat drug and violent crime under any of these 15 authorized purpose areas:

- A. Multi-Jurisdictional Task Forces
- B. Community Crime Prevention
- C. Improving Operational Effectiveness
- D. Drug and Violent Offender Prosecution

- E. Operational Effectiveness of the Courts
- F. Post Conviction Correctional Resources
- G. Information Systems
- H. Innovative Programs
- I. Drug Trafficking and Manufacture in Public Housing
- J. System Response to Victims
- K. Evaluation Programs
- L. Alternatives to Detention
- M. Urban Street Enforcement
- N. Gang Enforcement and Prevention
- O. Developing or Improving DNA Forensic Laboratories
- P. Habeas Corpus Processing

PART III: ELIGIBILITY

Units of local government located **north** of Illinois Route 80 are eligible to submit proposals on behalf of mid-system criminal justice agencies, including state's attorneys' offices, public defenders' offices, and probation departments. County jails, sheriff's departments and municipal law enforcement agencies may not be funded individually. Such agencies may be funded only in collaboration with prosecution, defense, and/or probation services, as detailed in Part X, page 13 of this RFP.

PART IV: MATCH

Grant funds may not be used for more than 75% of the total cost of the project. The remaining portion of the project costs must be met through a cash contribution by the project agency from non-federal sources. **These matching funds must be new dollars, not the reassignment of existing staff or resources to the proposed project.**

PART V: REPORTING REQUIREMENTS

Monthly progress and fiscal reports will be required of all successful applicants. The nature and format of these reports will be determined by the Authority prior to implementation of the project. The purpose of these reports is to allow the Authority to monitor the progress of the project and project expenditures. In addition, final summary reports will be required for both programmatic and fiscal activity.

PART VI: LEVEL AND DURATION OF FUNDING

A maximum of \$670,775 is being made available through this RFP to be distributed among multiple projects depending on the number and quality of responses. Each project will have a term of 12 months, commencing on or about June 1, 1999. Funding beyond the initial 12-month period is dependent on project performance and availability of funds. No project will be funded beyond 48 months of program activity.

The total federal award to each project will be no larger than \$150,000 and no smaller than

\$37,500. Grant funds may not be used for more than 75% of the total cost of the project. The remaining portion of the project costs must be met through a cash contribution by the project agency from non-federal sources. **Matching funds must be new dollars, not the reassignment of current personnel or resources to the proposed program.**

These funds are a portion of a federal grant to the Illinois Criminal Justice Information Authority from the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice.

PART VII: SUPPLANTING

Anti-Drug Abuse Act funds and matching funds may not be used to supplant or replace existing local funds. **Funding must be used to develop new projects or expand existing projects.**

PART VIII: PROPOSAL DEADLINE

Proposals must be received by 12:00 p.m., noon, Monday, February 1, 1999. Facsimile transmissions will not be accepted. Late proposals will not be accepted.

Proposals must be mailed or delivered to:

Federal & State Grants Unit
Illinois Criminal Justice Information Authority
120 S. Riverside Plaza, Suite 1016
Chicago, Illinois 60606-3997
Attention: Maureen Brennan

Proposal packages will be opened at 10:00 a.m. on Tuesday, February 2, 1999, at the Authority. All proposals not submitted in sealed envelopes will be rejected. Submissions

which do not include the complete original proposal and five copies of the proposal (including all items A through E, as outlined in Section IX, below) will not be considered.

PART IX: PROPOSAL CONTENT

To be accepted for consideration, proposals must meet the requirements set forth in this RFP. The total federal award to each project will be no larger than \$150,000 and no smaller than \$37,500. Grant funds may not be used for more than 75% of the total cost of the project. The remaining portion of the project costs must be met through a cash matching contribution by the program agency from non-federal sources.

Applicants must submit a sealed envelope containing an original (unbound) proposal and five copies of the proposal. Copies may be bound. Submissions must be on 8 1/2" x 11" paper, single sided, double-spaced, with margins of not less than 1.5" each and include, in the order indicated:

A) A completed cover page that includes the name, address and Federal Employer Identification number (FEIN) for the applicant unit of local government; the full name and telephone number of a contact person; applicant facsimile number; and the total amount of federal funding requested (see attached).

B) A signed certification that the applicant is not barred from contracting with any unit of state or local government as a result of a violation of 720 ILCS 5/33E-3 or 5/33E-4, and the applicant shall notify the Authority's Ethics Officer if the applicant solicits or intends to solicit for

employment any of the Authority's employees during any part of the application process or during the term of any contract awarded [form attached -- ATTACHMENT 1].

C) A signed certification regarding the State of Illinois Drug Free Workplace Act (30 ILCS 580). [form attached -- ATTACHMENT 2].

D) Federal Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters [form attached -- ATTACHMENT 3].

E) A narrative which includes the following components:

Section 1: Summary of the Program

Provide a brief description of the proposed program.

Section 2: Statement of the Problem

This component must provide a detailed description of the problem that will be addressed through the proposed program, including information on the applicant and the jurisdiction it serves. Inclusion of pertinent demographic information and drug and/or violent crime statistics for the applicant's community is required. This section must also include a detailed description of current efforts to address the problem, as well as some indication of the adequacy or inadequacy of these efforts.

In order to be considered for funding, the following tables detailing applicant information and jurisdiction demographic information must be completed. Collaborative applications

must complete separate tables for each collaborating agency.

The following table requires information about both the applicant agency and the county or city of which it is part. For example, if the Office of the Alpha County State's Attorney is submitting a proposal to implement a specialized prosecution program, it is the applicant agency. In the following table, the Office of the Alpha County State's Attorney must provide information on the annual budget for the Alpha County government as well as the applicant agency's annual budget.

Similarly, if the Beta City Police Department submits a proposal to work collaboratively with the Beta County Probation Department, both the Beta City Police Department and the Beta County Probation Department are applicant agencies. For this proposal, two sets of tables must be submitted. The first will include information on the total annual budget of Beta City and the total annual budget of the Beta City Police Department. The second table will provide information on the total annual budget of the Beta County government as well as the total annual budget of the Beta County Probation Department.

	1993	1994	1995	1996	1997
Total applicant agency caseload					
Caseload to be affected by the proposed program (i.e., juvenile, part I violent crime, sex offenders, etc.)					
Total annual budget of applicant county or city					
Total applicant agency annual budget					
Total applicant agency personnel budget					
Total applicant agency professional staff					
Total applicant agency support staff					

The information required to complete the following table is available from the U.S. Bureau of the Census at www.census.gov/ftp/pub/statab/USACounties

Applicant county or city pop.	% of pop. under age 18	% of pop. over age 65	Median household income	% below poverty level	Unemployment rate	Federal funds and grants per capita

Section 3: Goals and Objectives

The proposed goals and objectives are the planned outcomes that will result from the proposed program. Goals are general statements of the projected accomplishments of the proposed program. Objectives are the specific, measurable and realistic benchmarks toward these goals. Applicant agencies must supply at least one goal, and at least two objectives for each goal.

Section 4: Program Strategies

The problem statement has described the issues(s) to be addressed. The Goals and Objectives have defined the ends to be achieved. The Program Strategy must detail how these ends will be accomplished, by describing the process that will be used to implement the proposed program. In clear, logical detail, this component must supply the reader with a picture of how the program will operate. The strategy must also discuss:

- how this project will fit into the overall scope of current operations;
- how the proposed program will reach the specified goals; and
- how the program activities will be coordinated with other agencies in the community that will be affected by program operation.

Section 5: Performance Indicators

Performance indicators will be used to gauge the performance of the program and will serve as the basis for the monthly performance report. These indicators must be closely related to the objectives specified in Section 3.

Section 6: Implementation Schedule

The implementation schedule is a program planning tool, and should reflect a realistic projection of how the program will proceed and develop. This section must:

- describe the activities that will be undertaken to accomplish each objective;
- identify the staff responsible for each activity;
- indicate when each identified activity will begin; and
- indicate the expected completion date of each activity.

A sample implementation schedule format is attached.

Section 7: Proposed Budget

The attached budget detail and budget narrative pages must be completed. The budget detail specifies proposed program expenses by line item, including both federal and matching funds. Matching funds must be in the form of cash from a non-federal source and the applicant must explicitly state the source of the non-federal matching funds.

Matching funds must be new dollars, not the reassignment of current personnel or resources to the proposed program. Matching funds must support at least 25% of the total program budget, that is, for every \$3 in federal expenses, the applicant must contribute \$1 in local matching funds to the program. For example, if a proposed program has a total budget of \$100,000, 75% or \$75,000 is the maximum federal share of program expenses. The local matching contribution required in this example would be 25% or \$25,000. In this example, the ratio of federal funds to matching funds is \$75,000 to \$25,000 or 3:1.

The budget narrative must include an explanation of how the budgeted items are related

and necessary to the project, and must specify how costs were calculated.

PART X: REVIEW CRITERIA AND PROCEDURES

Proposal selection will be made using the criteria detailed below. The Authority reserves the right to reject any or all proposals if it is determined that submissions are not satisfactory.

Each of the five review criteria includes one critical indicant (CI). These critical indicants are the most important aspects of the criteria, without which an applicant will have failed to adequately follow the content requirements of the RFP. These critical indicants each carry a value of 5 points. **Proposals must earn all 25 of these critical indicant points in order to be funded.**

Need for the Program (25 points)

The narrative explains the need for the program and the applicant's commitment to combating drug and violent crime. (20 points)

CI: Need for the program is clearly articulated and the data tables are completed. (5 points)

Responsiveness to the proposal (40 points)

The narrative addresses all components of the proposal well and demonstrates applicant's ability to successfully implement the program. (35 points)

CI: Each of the narrative components is completed. See Sections 1 through 7, pages 7 through 12 of this RFP for detailed requirements. (5 points)

Implementation Plan (15 points)

The plan is complete, clear, and reasonable, and demonstrates an understanding of the resources and coordination necessary to operate the program. (10 points)

CI: An implementation plan detailing the four required elements described in Section 6 (page 11 of this RFP), is included. (5 points)

Adequacy of Cost Estimates (15 points)

Proposed program costs are realistic and necessary to implement the project. Allocation of resources has been planned in a cost-effective manner, and a calculation of all costs is clearly explained. (10 points)

CI: Creates new services or enhances existing services and does not supplant existing funding. (5 points)

Inclusion of Match (5 points)

CI: Matching contribution is in the form of cash and at least 25% of the total program budget, and applicant agency states in budget narrative that the source of matching funds is non-federal. (5 points)

Collaborative Programs (10 points)

Collaborative programs involving two or more local units of government may earn up to 10 additional points by demonstrating that the activities of the agencies involved in the collaboration have been planned and will be executed in a coordinated fashion. Collaborative programs must demonstrate this coordination of planning and operation in each of the seven sections of the proposal narrative (Part IX of this RFP). Commitment to the collaborative program must be demonstrated by letters of agreement from authorized representatives of each of the collaborating agencies. Evidence of past collaboration and coordination may also be included in the proposal narrative. Letters of support alone will not be accepted as documentation of the collaboration proposed in the program narrative.

Collaborating agencies may be:

- different components of the criminal justice system in the same jurisdiction, such as the Alpha County Probation Department and the Alpha County Sheriff’s Department; or
- the same component of the criminal justice system in different jurisdictions, such as the Alpha County Public Defender and the Beta County Public Defender.

County jails, sheriff’s departments and municipal law enforcement agencies may not be funded individually. Such agencies may be funded only in collaboration with prosecution, defense, and/or probation services

The total available points are summarized in the table below:

Review Criteria	Available Points
Need for Program	20
Need for Program – Critical Indicant	5
Responsiveness to the Proposal	35
Responsiveness to the Proposal – Critical Indicant	5
Implementation Plan	10
Implementation Plan – Critical Indicant	5
Adequacy of Cost Estimates	10
Adequacy of Cost Estimates –Critical Indicant	5
Inclusion of Match – Critical Indicant	5
Total Proposal	100
Bonus Points: Collaborative Programs	10
TOTAL AVAILABLE POINTS	110

PART XI: GRANT CONTENT

The content of selected proposals, including possible modifications, will help define the program,

and will be appended to grants awarded to applicant units of local government. In addition, other grant obligations include, but are not limited to, an anti-bribery clause; subcontractor limitation; international boycott certification; and debarment, equal opportunity, and non-discrimination certifications. Failure of any selected applicant to accept grant obligations may result in cancellation of the selection. The Authority reserves the right to extend the term of grants, at its discretion.

IMPLEMENTATION SCHEDULE

<u>Task</u>	<u>Date Begun</u>	<u>Date Completed</u>	<u>Personnel Responsible</u>
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Exhibit B: Budget detail

PROPOSED BUDGET: Fill in the budget form below for the proposed project. Please note that federal dollars can only support up to 75% of the total costs of the project. See the reverse side for instructions on how to complete this form. You may fill in this form or recreate it on the computer.

Project Expenses	Unit Cost	# of Units/ %of Time	Federal	Match	Total Costs
Personnel Service					
Equipment					
Commodities					
Travel					
Contractual					
Other					
GRAND TOTAL					

EXHIBIT B: BUDGET BUDGET DETAIL INSTRUCTIONS

GENERAL INSTRUCTIONS: The purpose of the attached proposed budget form is to summarize, by item of expenditure, the total budget of the proposed project. Make sure that each budget category is totaled correctly and that the **total budgeted amount of federal funds does not exceed 75% of the total costs of the project**. Please round off all amounts to the nearest dollar.

DETAIL OF ITEMIZED BUDGET:

Personnel Services: Identify the personnel to be used in this project by job title (e.g. probation officer, attorney, secretary, etc.). Enter the full salary for personnel who will spend time on the project in the *unit cost* column. Identify the percentage of time spent on the project under the *percentage of time* column. Multiply the unit cost by the percentage of time and enter the budgeted amount for this project into the federal and/or match columns as appropriate. Fringe benefits are allowable as long as they are in accordance with federal guidelines and comparable to those granted to other employees of the organization.

Equipment: Enter any equipment that is to be purchased and which has a unit cost of more than \$50. Detail each item of equipment, including the number of units and the estimated cost per unit. The cost for each item should include taxes, delivery, installation and all related costs. Lease or rental equipment belongs under the contractual category. Equipment items of less than \$50 should be listed under Commodities.

All procurements must be competitive to the maximum extent practical. For procurements of **\$5,000 or less**, you must solicit quotes or bids from at least three sources. For procurements **over \$5,000**, you must formally advertise the proposed procurement through an Invitation for Bids (IFB) or a Request for Proposals (RFP).

Commodities: This section applies to consumable supplies and any equipment items with initial prices of less than \$50. Itemize all commodities to be used for the project; avoid the designation "miscellaneous".

Travel: This section applies to travel costs for *project personnel only*. These expenses include mileage, subsistence, lodging and transportation expenses for employees who are on official business related to the goals and objectives of the project. Reimbursement may not exceed the rates and conditions established for state employees by the Governor's Travel Control Board.

Contractual: List all costs which are to be incurred as a result of an agreement, letter of intent, contract or lease. This section includes facility costs, utilities, telephone, equipment rentals and hourly personnel.

All procurement must be competitive to the maximum extent practical. For procurements of

\$5,000 or less, you must solicit quotes or bids from at least three sources. For procurements **over \$5,000**, you must formally advertise the proposed procurement through an Invitation for Bids (IFB) or a Request for Proposals (RFP). **Prior written Authority approval is required before any IFB or RFP over \$5,000 is released and before any subcontract over \$5,000 may be executed.**

All recipients of federal funds will be required to have an audit. An allocation for audit costs may be included as contractual costs in the itemized budget but should not exceed 2% of the total budget.

Exhibit B: Budget Narrative

BUDGET NARRATIVE: Provide a narrative explanation of the how the budgeted items are related and necessary to the project and how those costs were calculated. Refer to the instructions on the reverse side. You may use this form or recreate it on the computer.

Personnel Service: *(List all fringes.)*

Equipment:

Commodities:

Travel:

Contractual:

Other:

EXHIBIT B: BUDGET BUDGET NARRATIVE INSTRUCTIONS

General Instructions: The Budget Narrative accompanies the *Proposed Budget Detail* to provide the justification and information necessary to 1) determine the manner in which the budget detail was computed, and 2) the relationship between major budget components and the achievement of the project goals.

If no funds are allocated for the required audit within the grant budget, include an explanation in the Budget Narrative of how the audit will be financed.

Personnel: List the personnel to be paid for with agreement funds and explain any unusual salary level. Provide a breakdown of the specific fringe benefits that will be charged to the agreement and explain how they were calculated. This section must include a detailed list of all fringe benefits budgeted.

Equipment: If equipment is to be purchased, its proposed use and relationship to the project should be described. All equipment purchased must be necessary to the program.

Commodities: Enter the basis for computation of consumable item costs and explain any unusual types or quantities of consumable items.

Travel: Describe, in detail, travel costs related to each staff function.

Contractual: Enter the cost and time basis (i.e. rate per week, month, etc.) of all contractual costs such as facility costs, utilities, telephone, equipment rentals, and hourly personnel. Explain in detail any large expenses and explain why they are necessary for the program.

For each person to be employed by the program on an hourly basis, specify the following:

- (a) Rate of pay;
- (b) Number of hours to be worked each week or month;
- (c) Number of months to be employed by the project;
- (d) Detailed job duties; and
- (e) Minimum educational requirements, training and/or prior experience required.

CERTIFICATION

The applicant certifies:

- (1) that it is not barred from contracting with any unit of state or local government as a result of 720 ILCS 5/33E-3 or 5/33E-4; and
- (3) that it shall notify the Authority's Ethics Officer if the applicant solicits or intends to solicit for employment any of the Authority's employees during any part of the application process or during the term of any contract awarded.

Name and Title of Authorized Representative

Signature

Date

Name of Organization

Address of Organization

STATE OF ILLINOIS
DRUG FREE WORKPLACE CERTIFICATION

This certification is required by the Drug Free Workplace Act (111. Rev. Stat., ch. 127, par. 152.31 1). The Drug Free Workplace Act, effective January 1, 1992, requires that no grantee or contractor shall receive a grant or be considered for the purposes of being awarded a contract for the procurement of any property or services from the State unless that grantee or contractor has certified to the State that the grantee or contractor will provide a drug free workplace. False certification or violation of the certification may result in sanctions including, but not limited to, suspension of contract or grant payments, termination of the contract or grant and debarment of contracting or grant opportunities with the state for at least one (1) year but not more than five (5) years.

For the purpose of this certification, "grantee" or "contractor" means a corporation, partnership, or other entity with twenty-five (25) or more employees at the time of issuing the grant, or a department, division, or other unit thereof, directly responsible for the specific performance under a contract or grant of \$5,000 or more from the State.

The contractor/grantee certifies and agrees that it will provide a drug free workplace by:

a) Publishing a statement:

- 1) Notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance, including cannabis, is prohibited in the grantee's or contractor's workplace.
- 2) Specifying the actions that will be taken against employees for violations of such prohibition.
- 3) Notifying the employee that, as a condition of employment on such contract or grant, the employee will:
 - (A) abide by the terms of the statement; and
 - (B) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

b) Establishing a drug free awareness program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the grantee's or contractor'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 an employee for drug violations.
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- c) Providing a copy of the statement required by subparagraph (a) to each employee engaged in the performance of the contract or grant and to post the statement in a prominent place in the workplace.
 - d) Notifying the contracting or granting agency within ten (10) days after receiving notice under part (B) of paragraph (3) of subsection (a) above from an employee or otherwise receiving actual notice of such conviction.
 - e) Imposing a sanction on, or requiring the satisfactory participation in a drug abuse assistance or rehabilitation program by any employee who is so convicted, as required by section 5 of the Drug Free Workplace Act.
 - f) Assisting employees in selecting a course of action in the event drug counseling, treatment, and rehabilitation is required and indicating that a trained referral team is in place.
 - g) Making a good faith effort to continue to maintain a drug free workplace through implementation of the Drug Free Workplace Act.

THE UNDERSIGNED AFFIRMS, UNDER PENALTIES OF PERJURY, THAT HE OR SHE IS AUTHORIZED TO EXECUTE THIS CERTIFICATION ON BEHALF OF THE DESIGNATED ORGANIZATION.

 Printed Name of Organization

 Signature of Authorized Representative

 Requisition/Contract/Grant ID #

 Printed Name and Title

 Date



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

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

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

1. LOBBYING

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

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

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

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

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

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

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

Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for Instructions.)

Public Reporting Burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
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4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime: Congressional District, if known: _____
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6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____
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8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____
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10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): _____	b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI): _____
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11. Information requested through this form is authorized by Sec.319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
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Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

ANTI-DRUG ABUSE ACT OF 1988
(EDWARD BYRNE MEMORIAL FUND)

FFY97 Request for Proposals

Cover Sheet

Applicant Name:	
Applicant Address:	
Applicant FEIN #:	
Contact person:	
Telephone Number:	
Fax Number:	
Federal Funds Requested:	\$
Proposal Checklist:	
	Completed Cover page
	One original unbound proposal and five complete copies, with Attachments
	Signed Certification (Attachment I)
	Signed Drug Free Workplace Certification (Attachment II)
	Signed Federal Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters (Attachment III)