

ALASKA STATE LEGISLATURE

LEGISLATIVE BUDGET AND AUDIT COMMITTEE Division of Legislative Finance



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MEMORANDUM

DATE: December 7, 2018

TO: Legislative Budget and Audit Committee

FROM: David Teal, Director

SUBJECT: Preparation for the December 13, 2018 LB&A Meeting

OMB submitted the following FY19 RPLs for consideration at the December 13, 2018 Legislative Budget and Audit Committee meeting. These RPLs, along with Legislative Finance comments, are posted on our web site at <http://www.legfin.akleg.gov>.

RPL#	Agency	Subject	Amount	Fund Source
02-9-0056 Operating	Administration	Court Appointed Special Advocate (CASA) Community Response to the Opioid Crisis Grant	\$144,694	Federal Receipts (1002)
08-9-0121 Operating	Commerce, Community and Economic Development	Centers for Medicare and Medicaid Services State Flexibility Grant	\$199,700	Federal Receipts (1002)
20-9-0044 Operating	Corrections	Residential Substance Abuse Treatment Grant	\$73,000	Federal Receipts (1002)
05-9-0045 Operating	Education and Early Development	Accept additional private grants for Arts in Education programs and initiatives	\$385,000	Statutory Designated Program Receipts (1108)
18-9-0374 Operating	Environmental Conservation	One-Time Furniture Costs Associated with 410 Willoughby Lease Remodel	\$853,756	Federal Receipts (1002)

RPL#	Agency	Subject	Amount	Fund Source
09-9-0113 Operating	Military and Veterans Affairs	FY2019 Homeland Security & Emergency Management Authority Increase	\$100,000	Statutory Designated Program Receipts (1108)
12-9-3040 Operating	Public Safety	Increase Federal Authority for the Laboratory Services	\$300,000	Federal Receipts (1002)
12-9-3050 Operating	Public Safety	Increase Federal Receipt Authority	\$500,000	Federal Receipts (1002)
25-9-8623 Capital	Transportation and Public Facilities	Federal Emergency Projects	\$25,000,000	Federal Receipts (1002)

If you have any questions that you want an agency to address at the meeting, please call us so we can help ensure the agency has a response prepared.

**Department of Administration
Legal and Advocacy Services
Office of Public Advocacy**

Subject of RPL: Court Appointed Special Advocate (CASA) Community Response to the Opioid Crisis Grant	ADN/RPL #: 02-9-0056
Amount requested: \$144,694	Appropriation Authority: Sec1 Ch17 SLA2018 P4 L27
Funding source: \$144,694 (1002 Federal) Operating	Statutory Authority: AS 44.21.410(b)(3)

PURPOSE

This is a federal grant totaling \$600,661 over three years from the Office for Victims of Crime Enhancing Community Responses to the Opioid Crisis: Serving Our Youngest Crime Victims. The purpose of the grant is to develop and execute plans and services to support infants, children and youth directly affected by the opioid crisis in Alaska utilizing the Court Appointed Special Advocate (CASA) program currently operating in five Alaskan cities by enhancing and expanding direct services throughout the State of Alaska. The grant is for federal fiscal year (FFY) 2019, FFY2020 and FFY2021.

The opioid epidemic in Alaska is killing families. As more and more parents become addicted to heroin, and other opioids, thousands more children are being placed into an already overburdened foster care system, one that lacks resources, foster parents, funding and focused advocacy for our youngest crime victims. According to the State of Alaska's Office of Children's Services, the number of children entering the foster care system is rising drastically, attributing this increase to the state's heroin epidemic.

National data shows children have improved outcomes with focused advocacy including: A child with a CASA/Guardian ad Litem (GAL) volunteer is more likely to find a safe, permanent home; receive more help while in the system; more likely to have consistent, responsible adult presence; spend less time in an already overburdened foster care system; perform better in school; and score better on nine protective factors. Alaska CASA has a plan for expansion through partnerships to provide direct services through focused advocacy for each child and to provide training and support to state and tribal entities and other community partners to increase these positive outcomes for our youngest crime victims.

PREVIOUS LEGISLATIVE CONSIDERATION

There has been no previous legislative consideration as the grant only became available in the summer of 2018.

TIMING ISSUES

The Office of Public Advocacy (OPA) became aware of the existence of the federal grant opportunity on June 11. The grant had been issued on June 5 and the application due on July 10. OPA had no way of anticipating that a grant of this nature would be offered by the federal government. The total grant award is \$600,661 over three years, beginning on October 1, 2018. Additional authority is needed as soon as possible to begin using the grant funds as the grant conditions require OPA to meet quarterly goals on a rigid timeline. If the increased authority is not

approved, OPA will not be able to use this grant and will be unable to expand assistance and advocacy for the children of the State of Alaska.

BUDGETARY ISSUES

This funding allows OPA to expand a core mission of the agency: to advocate for the best interests of Alaska's most vulnerable residents: children. The Alaska CASA program has been an integral part of OPA's child advocacy mission for decades but has not been able to expand services to reach more children due to funding and staffing limitations. This grant allows for needed expansion and focuses on children who have been traumatized and impacted by the opioid crisis.

This is a time-limited expansion to OPA's CASA budget for three federal fiscal years. It is hoped that by the time this grant runs out OPA will have been able to forge lasting connections in many different communities and with tribal organizations so that the expansion of the CASA program can be sustained without any further state funding. An expanded CASA program will assist the agency Guardians Ad Litem substantially.

The grant will fund a nonpermanent Program Coordinator and a contract for project coordination. These activities will be based in Anchorage. Both the nonpermanent position and project coordinator contract will likely be discontinued at the end of this grant as the grant funding is temporary. This grant does not replace existing state general funds and does not commit the state to future general fund spending.

OPA has very little federal receipt authority as it rarely obtains federal grants and the grants are generally in small amounts. Current federal authority within the appropriation totals \$51,300 and will be applied to the receipt and expenditure of this grant. However, the current appropriation is insufficient to support the remaining fiscal year activities.

The line item distribution of this expenditure is:

1000 - \$81,771

2000 - \$1,124

3000 - \$61,799

The department will pursue additional federal authority for future fiscal years through the appropriate budget process.

Legislative Fiscal Analyst Recommendation: There are no technical issues with this RPL. OPA has only \$51,300 in Federal Receipt authority in the current FY19 budget. If this RPL is approved, the revised total authorization of \$195,994 would provide for the first year funding of this three-year federal grant for Court Appointed Special Advocate (CASA) Community Responses to the Opioid Crisis. Legislative Finance expects future requests for the remaining funding.

Department of Commerce, Community and Economic Development
Insurance
Insurance Operations

Subject of RPL: Centers for Medicare and Medicaid Services State Flexibility Grant	ADN/RPL #: 08-9-0121
Amount requested: \$ 199,700.00	Appropriation Authority: Sec 1 Ch 17 SLA 2018 pg 6 ln 17
Funding source: Federal Receipts (1002), Operating	Statutory Authority: AS 21; AS 44.33.020

PURPOSE

The Department of Commerce, Community, and Economic Development (DCCED), Division of Insurance (DOI) requests \$199,700.00 in federal authorization for FY2019. The additional authorization will be used to receive federal grant funding from the Centers for Medicare and Medicaid Services (CMS) for a State Flexibility Grant that was awarded on August 20, 2018. The federal funds do not require any state general fund match.

The grant awarded totals \$276,972.00 over a 24-month period that crosses FY2019, FY2020, and FY2021. In the first year, \$200,000.00 is anticipated to be expended. The division currently has \$300.00 in budgeted federal authorization (see budget section, below).

The DOI will use funding from this grant to:

- Assess current market conditions to determine whether health care plans are meeting Alaskan consumers' needs for accessible and affordable health care coverage without unfairly discriminating against Alaskans. This project is critical to identify potential solutions to Alaska's high cost of health care insurance.
- Analyze accessibility to affordable health care coverage throughout Alaska to ensure that insurers comply with requirements for guaranteed availability, renewability of coverage, and non-discriminatory benefit designs.
- Contract and work in tandem with a third party to conduct economic and actuarial research and analyses regarding accessibility to affordable health care coverage, and will utilize the grant funds to develop recommendations for strengthening the private health insurance market through market reforms under Part A of Title XXVII of the Public Health Service Act.

PREVIOUS LEGISLATIVE CONSIDERATION

This request has not been previously considered.

TIMING ISSUES

The Division applied for the State Flexibility Grant on April 3, 2018. The grant approval was announced by CMS on August 20, 2018. The grant is awarded for period of 24 months: from the award date of August 20, 2018, through August 19, 2020.

Having authorization to receive the federal funds in place prior to the 31st Legislative Session will allow the division to move forward on this project significantly sooner than pursuing this authorization via a supplemental appropriation. This will allow the division to hire a contractor through a competitive bid process to begin working on this project. The department plans to pursue federal authorization in the FY2020 operating budget, which will be used to receive the FY2020 and FY2021 federal revenue from this grant.

BUDGETARY ISSUES

The division does not currently have sufficient federal receipt authorization to receive these grant funds. In the FY2019 budget, DOI has \$300.00 in federal receipt authorization as a result of bulk-calculated salary and health insurance increases that were based on personal services modules that included positions budgeted to a prior multi-year federal appropriation.

If authorization is approved for use early in FY2019, this federal grant project will provide opportunities for detailed analysis of the state of Alaska's individual and small group markets, and will benefit the Administration and the Legislature as they develop policies to improve the affordability and accessibility of health insurance in Alaska.

Legislative Fiscal Analyst Recommendation: There are no technical issues with this RPL. Insurance Operations has only \$300 in Federal Receipt authority in the current FY19 budget. If this RPL is approved, the revised total authorization of \$200,000 will provide first year funding. The department plans to request federal receipt authorization in the FY20 operating budget to meet the overall authorization needed to complete the tasks set out in this State Flexibility Grant from the Centers for Medicare and Medicaid Services.



CCIIO Home > Health Insurance Market Reforms > Alaska State Flexibility to Stabilize the Market Grant Award

The Center for Consumer Information & Insurance Oversight

Alaska State Flexibility to Stabilize the Market Grant Award

Grant Application Summary

Alaska Grantee: State of Alaska Division of Insurance

Award Date: August 20, 2018

Total Award: \$276,972.00

Baseline Award: \$274,344.83

Workload Award: \$2,627.17

Section 2702 - The Alaska Division of Insurance will assess current market conditions to determine whether health care plans are meeting Alaskan consumers' needs for accessible and affordable health care coverage without unfairly discriminating against Alaskans. Alaska will use market assessment data to develop policy adjustments to improve market conditions and affordable coverage in rural versus urban settings, and to improve the disparities in coverage of Alaska's underserved populations.

Section 2703 - The Alaska Division of Insurance will contract with a third-party to conduct research and economic and actuarial analyses regarding accessibility to affordable health care coverage. The assessment will include identifying and evaluating barriers to accessibility of affordable health care coverage throughout Alaska with an emphasis on comparing rural settings to more urban settings, establishing a rationale for economic and social factors necessary to determine what affordable coverage means, as well as determining whether plan design elements or other factors could improve access to affordable coverage in each of the five regions of Alaska (Southeast, Southwest, South central, Interior and Northern). Alaska will also identify strategies to enhance current oversight over requirements for guaranteed availability and renewability of coverage to improve accessibility to affordable health care insurance coverage in Alaska.

Section 2707 - The Alaska Division of Insurance will contract with a third-party to conduct economic and actuarial research and analyses regarding accessibility to affordable health care coverage. The data related to accessibility to affordable care and non-discriminatory Essential Health Benefits (EHB) Benchmark plan standards could also result in recommendations for improvement of rate review processes. Alaska will identify strategies to enhance current oversight over requirements for non-discrimination under comprehensive health insurance coverage to improve accessibility to affordable health care insurance coverage in Alaska.



A federal government website managed and paid for by the U.S. Centers for Medicare & Medicaid Services. 7500 Security Boulevard, Baltimore, MD 21244



CMS NEWS

FOR IMMEDIATE RELEASE
August 20, 2018

Contact: CMS Media Relations
(202) 690-6145 | [CMS Media Inquiries](#)

CMS Awards \$8.6 Million in Funding to States to Help Stabilize Markets
The State Flexibility Grant Awards will help States strengthen the private health insurance market through innovative measures

Today, the Centers for Medicare & Medicaid Services (CMS) awarded \$8.6 million in funding to 30 states and the District of Columbia to provide State insurance regulators with the opportunity to enhance States' ability to strengthen their respective health insurance markets through innovative measures that support market reforms and consumer protections under the Patient Protection and Affordable Care Act (PPACA). States can use the funds for activities such as:

- Conducting economic analyses and market scans of the State's health insurance market to improve and expand the number of affordable healthcare coverage options under new flexibilities offered to states by CMS guidance and regulations; and
- Examining plan policies, procedures and claims related data related to access to mental health and substance use disorder treatment services, including opioid treatment services.

"These grants build on CMS's ongoing efforts to give states the tools and flexibility they need to help people struggling to afford the year over year premium increases caused by Obamacare regulations," said CMS Administrator Seema Verma. "We recognize that States are in the best position to assess the needs of their consumers and develop innovative measures to ensure access to affordable health coverage. These grants make yet another down payment on our work to enhance States' ability to stabilize and improve their respective health insurance markets." This funding is part of \$250 million for State Rate Review Grants provided by the PPACA to improve the process for how States review proposed health insurance rates. The funds announced today are unspent Rate Review Grant funding from prior years that are available to the Secretary to award grants to States for planning and implementing federal insurance reforms and consumer

protections. Since some states either did not request funding from CMS or completed their Rate Review Grant project under budget, funds were returned. In October 2016, CMS used unspent funds from the Rate Review Grants to award the Health Insurance Enforcement and Consumer Protections Grants. Additional funding still remains and CMS is in a position to award funds for this new grant that provides States with resources to support the establishment of innovative measures to improve their markets. The grants awarded today will have a project and budget period of 24 months from the award date, August 16, 2018, to August 14, 2020. All states that applied are receiving funding.

To see the funding allocated to each state, please click here:

<https://www.cms.gov/CCIIO/Programs-and-Initiatives/Health-Insurance-Market-Reforms/Downloads/state-flexibility-grant-fact-sheet.pdf>

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FACT SHEET: The State Flexibility to Stabilize the Market Grant Program

The State Flexibility to Stabilize the Market Grant Program (“State Flexibility Grant”) will provide grant funds to 30 States and the District of Columbia to enhance and support the role of States in the implementation of and planning for selected Federal market reforms and consumer protections guaranteed by the Patient Protection and Affordable Care Act (PPACA), including: guaranteed availability of coverage, guaranteed renewability of coverage, and essential health benefits.

These grants will help support State Departments of Insurance efforts to make sure their laws, regulations, and procedures are in line with Federal requirements and that States are able to effectively regulate their respective health insurance markets through innovative measures that support the selected Federal market reforms and consumer protections.

Grant Awards Overview:

Approximately \$8.6 million is being awarded to assist State Departments of Insurance in planning and implementing select key insurance market reforms and consumer protections. Grant funds can be used for a variety of planning and implementation objectives related to the selected market reforms and consumer protections, including but not limited to implementing or enhancing policy form review, hiring or contracting with a clinician to review formularies, developing actuarial and economic analyses, and performing market scans of the respective State’s health insurance market to improve and expand the number of coverage options. The grant will have a project and budget period of 24 months from the award date, August 20, 2018, to August 19, 2020. Each applicant awarded a grant will receive a minimum baseline amount of \$274,345 (see Table 1 for award totals by jurisdiction). In addition to receiving a baseline award, each applicant awarded a grant will also receive “Workload” funds. Workload funds are determined based on the population and number of health insurance issuers in the State.

Grants will be awarded to the District of Columbia (DC) and the following States: Alaska (AK), Arkansas (AR), Colorado (CO), Hawaii (HI), Idaho (ID), Illinois (IL), Indiana (IN), Iowa (IA), Kentucky (KY), Maryland (MD), Massachusetts (MA), Michigan (MI), Minnesota (MN), Mississippi (MS), Nebraska (NE), Nevada (NV), New Hampshire (NH), New Jersey (NJ), New Mexico (NM), Nevada (NV), North Carolina (NC), Oregon (OR), Pennsylvania (PA), Rhode Island (RI), South Dakota (SD), Tennessee (TN), Utah (UT), Virginia (VA), Washington (WA), West Virginia (WV), and Wyoming (WY).

Table 1: State Flexibility to Stabilize the Market Grant Awards by State

	Jurisdiction	Market Reform	Total Award Amount
1	Alaska	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$276,972.00
2	Arkansas	Essential Health Benefits	\$279,666.10
3	Colorado	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage	\$282,062.29
4	District of Columbia	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage	\$277,958.59
5	Hawaii	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage	\$278,527.95
6	Idaho	Guaranteed Availability of Coverage	\$278,683.53
7	Illinois	Essential Health Benefits	\$284,155.00

8	Indiana	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$283,954.52
9	Iowa	Guaranteed Availability of Coverage	\$225,902.00
10	Kentucky	Essential Health Benefits	\$279,182.86
11	Maryland	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$280,000.00
12	Massachusetts	Essential Health Benefits	\$283,211.89
13	Michigan	Guaranteed Availability of Coverage	\$283,947.50
14	Minnesota	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$274,593.00
15	Mississippi	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$279,734.10
16	Nebraska	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$278,821.74
17	Nevada	Essential Health Benefits	\$249,979.00
18	New Hampshire	Guaranteed Availability of Coverage, Essential Health Benefits	\$280,076.12
19	New Jersey	Guaranteed Availability of Coverage	\$284,105.82
20	New Mexico	Guaranteed Availability of Coverage, Essential Health Benefits	\$279,843.03
21	North Carolina	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage	\$283,873.39
22	Oregon	Guaranteed Availability of Coverage	\$282,754.02
23	Pennsylvania	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$290,203.01
24	Rhode Island	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$276,715.91
25	South Dakota	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$278,118.05
26	Tennessee	Essential Health Benefits	\$283,060.64
27	Utah	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage	\$278,750.00
28	Virginia	Guaranteed Availability of Coverage, Essential Health Benefits	\$285,093.00
29	Washington	Guaranteed Availability of Coverage	\$284,135.00
30	West Virginia	Essential Health Benefits	\$277,316.68
31	Wyoming	Guaranteed Availability of Coverage, Guaranteed Renewability of Coverage, Essential Health Benefits	\$275,558.40
	Total		\$8,616,955.14

Background on Funding:

This funding is part of \$250 million for State Rate Review Grants provided by Section 2794 of the PPACA to improve the process for how States review proposed health insurance rates. The funds announced today are unspent Rate Review Grant funding from prior years that are available to the Secretary to award grants to States for planning and implementing federal insurance reforms and consumer protections. Since some states either did not request funding from CMS or completed their Rate Review Grant project under budget, funds were returned. In October 2016, CMS used unspent funds from the Rate Review Grants to award the Health Insurance Enforcement and Consumer Protections Grants. Additional funding still remains and CMS is in a position to award funds for this new grant that provides States with resources to support the establishment of innovative measures to improve their markets.

For more information on the grant awards, visit: <https://www.cms.gov/CCIIO/Resources/Funding-Opportunities/index.html>

Market Stability Grant Timeline

The grant will have a project and budget period of 24 months from the award date, August 20, 2018 to August 19, 2020.

Proposed Activity	Timeframe
Develop Request For Proposal (RFP) and/or sole-source contracts needed to accomplish project objectives (timing from first draft submission to the State Procurement Officer through final revision).	September-November 2018
Issue any approved sole-source contracts in accordance with the Alaska Procurement Code.	December 2018
Solicit for RFP online in accordance with the Alaska Procurement Code. Post RFP on state website using standard department media and timelines.	December 2018
Publicize and conduct teleconference for potential bidders to provide an overview of the RFP and answer bidder questions. Accept written comments after pre-proposal conference.	November-December 2018
Review bids, select contractor(s) and execute contract(s). It is possible that multiple contractors will be selected, depending on qualifications, cost estimates, contractor capacity and other factors. The State will adhere to its stringent state procurement code RFP policies and procedures regarding the review and selection process, as well as policies and procedures for contract execution.	January 2019
Receive final report from contractor(s).	Prior to March 2020
Independent analysis of final report by Healthcare Insurance Specialists and Healthcare Actuary under direction of Healthcare Supervisor.	March-April 2020
Contractor report and Division of Insurance Analysis presented to Commissioner's Office.	June 2020
Submit final grant report with milestone updates; close out grant.	August-October 2020

Department of Corrections
RDU – Health and Rehabilitation Services
Component – Substance Abuse Treatment Program

Subject of RPL: Residential Substance Abuse Treatment Grant	ADN/RPL #: 20-9-0044
Amount requested: \$ 73,000	Appropriation Authority: Sec 1 Ch 17 SLA 18 pg 11 ln 03
Funding source: \$73,000 – (1002 Federal Receipts) Operating	Statutory Authority: AS 33.30.011 (Dept or program authorizing statute that allows department to accept these funds or administer the program).

PURPOSE

The Department of Corrections has been awarded the BJA (Bureau of Justice Assistance) FY2018 Residential Substance Abuse Treatment (RSAT)) for State Prisoners Program in the amount of \$138,000 grant. The department requests \$73,000 in additional federal receipt authority to accept this grant award for FY2019. This year the grant awarded has increased by \$73,000 which will provide funding to the department for FY2019. The purpose of the FY2018 Residential Substance Abuse Treatment (RSAT) is to aid in reducing the impact of drug and alcohol dependence upon public safety and criminal recidivism often associated with substance use. The funds received will be allocated to the RSAT program currently established within the Hiland Mountain Correctional Center (HMCC), the state's primary female unit. This program utilizes the Modified Therapeutic Community treatment model and focuses on a cognitive behavioral approach to address offender's criminal thoughts, behaviors, and lifestyles along with treating their addiction(s). The increase in funding from BJA is associated with a requirement that Medication Assisted Treatment (MAT) services are required to be incorporated as part of the spectrum of care in order to continue to receive funding. Nationally the current best practices model incorporates the use of Cognitive Behavioral Therapy (CBT) interventions, along with MAT services to aid individuals transitioning out of incarceration to have the needed tools to successfully reintegrate back into the community.

This project has the potential to affect the entire state of Alaska, as HMCC is the Department's primary female unit. This facility houses offenders from all walks of life and geographical areas to include urban areas to rural remote villages. This project has the potential to serve a cross section of cultures as well.

PREVIOUS LEGISLATIVE CONSIDERATION

There was no previous legislative consideration for the increment.

TIMING ISSUES

In September of FY2019, additional federal grant funds were recently made available to the Health and Rehabilitation Services, Substance Abuse Treatment Program and the component lacks enough federal receipt authority to appropriate with this increase. To ensure that the project begins timely, the component requires additional federal receipt authority in the FY2019 budget. This increase would ensure that the Department continues to be eligible for and receive BJA funding to aid in supporting RSAT services.

BUDGETARY ISSUES

The department hopes to be able to provide programming/services with the additional requested federal receipt authority that aid in:

Agency Contact April Wilkerson, Director, Division of Administrative Services, (907) 465-3460
LFD Contact: Amanda Ryder (907) 465-5411

- Reducing the rate of recidivism by those who complete the RSAT program.
- Increasing public safety by supporting offenders in their quest for prosocial lifestyles.
- Providing access to and education about Medication Assisted Treatment (MAT) available for RSAT participants.
- Reducing the impact the Opioid epidemic is having on the state of Alaska.
- Breaking the cycle of multi-generational addiction that is so prevalent throughout the state of Alaska.

The federal funds would be spent towards contractual services only.

Legislative Fiscal Analyst Comment: There are no technical issues with this RPL.

U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding under the Residential Substance Abuse Treatment for State Prisoners Program. This program furthers the Department's mission by assisting state, local, and tribal efforts to break the cycle of drug addiction and violence by reducing the demand for, use, and trafficking of illegal drugs.

Residential Substance Abuse Treatment (RSAT) for State Prisoners Program FY 2018 Formula Grant Announcement Applications Due: June 18, 2018

Eligibility

Eligible applicants are limited to states. For purposes of this solicitation, "states" are defined as all U.S. states, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands. By statute (34 U.S.C § 10422), BJA must award RSAT grants to the state office (see <http://www.ojp.gov/saa/index.htm> for Administering Agencies list) designated to administer the Byrne Justice Assistance Grant Program. The state office may award subgrants¹ to state agencies and units of local government, including federally recognized Indian tribal governments that perform law enforcement functions (as determined by the Secretary of the Interior).

All recipients and subrecipients (including any for-profit organization) must forgo any profit or management fee.

In order to be eligible to receive an award under this solicitation, the application must demonstrate that a minimum of 25 percent of the total cost of each project under the award will be funded with nonfederal funds. The federal share of an RSAT award may not exceed 75 percent of the total cost of the projects described in the application. 34 U.S.C. §10424.

Deadline

Applicants must register in the OJP Grants Management System (GMS) at <https://grants.ojp.usdoj.gov/> prior to submitting an application under this solicitation. All

¹ For additional information on subawards, see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

applicants must register, even those that previously registered in GMS. Select the “Apply Online” button associated with the solicitation title. All registrations and applications are due by 11.59 p.m. eastern time on June 18, 2018.

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 to 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 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 LaShawn Benton, State Policy Advisor by telephone at: 202–514–5057 or by email at: lashawn.benton@usdoj.gov.

Release date: May 2, 2018

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Residential Substance Abuse Treatment (RSAT) for State Prisoners Program CFDA #16.593

A. Program Description

Overview

The Residential Substance Abuse Treatment (RSAT) for State Prisoners Program assists states, local, and tribal governments in the development and implementation of substance abuse treatment programs in state, local, and tribal correctional and detention facilities. Funds are also available to create and maintain community reintegration services for offenders after they are released from incarceration.

Statutory Authority: *34 U.S.C. § 10421 et. seq.* Any awards under this solicitation will be made under statutory authority provided by the Consolidated Appropriations Act, 2018 (P.L. 115-141, 132 Stat. 348, 420).

Program-Specific Information

The RSAT for State Prisoners Program assists state, local, and tribal governments in the development and implementation of substance abuse treatment programs in state, local, and tribal correctional and detention facilities as well as in the creation and maintenance of community reintegration services for offenders. The RSAT program places a strong emphasis on evidence-based best practices. For more information on the use of RSAT funds, please see page 5.

Objectives and Deliverables

The purpose of the RSAT for State Prisoners Program is to break the cycle of drug addiction and violence by reducing the demand for, use, and trafficking of illegal drugs. RSAT's objectives are to enhance the capabilities of states and units of local and tribal governments to provide residential substance abuse treatment for incarcerated inmates; prepare inmates for their reintegration into a community by incorporating reentry planning activities into treatment programs; and assist these offenders and their communities through the reentry process by delivering community-based treatment and other broad-based aftercare services.

Treatment practices and/or services are required to be evidence-based as shown through treatment outcomes that are consistent with the RSAT Program objectives.

The Objectives and Deliverables are directly related to the performance measures that demonstrate the results of the work completed, as discussed in [Section D. Application and Submission Information](#), under Program Narrative.

Program Requirements

RSAT Program funds may be used to implement three types of programs: residential, jail-based, and aftercare. Applications involving partnerships with community-based substance abuse treatment programs will be given priority consideration.

To be eligible for funding, states must coordinate the design and implementation of treatment programs between state correctional representatives and the state alcohol and drug abuse agency (and, if appropriate, between representatives of the local correctional agencies and representatives of either the state alcohol and drug abuse agency or any appropriate local alcohol and drug abuse agency). A state must also agree to implement or continue to require urinalysis or other proven reliable forms of testing, including both periodic and random testing—(1) of an offender before the offender enters a residential substance abuse treatment program and during the period in which the offender participates in the treatment program; and (2) of an offender released from a residential substance abuse treatment program if the offender remains in the custody of the state.

RSAT should be used to implement **residential programs** that:

- Engage inmates for a period between 6 and 12 months.
- Provide residential treatment facilities set apart—in a completely separate facility or dedicated housing unit in a facility exclusively for use by RSAT participants—from the general correctional population.
- Focus on the inmate's substance abuse diagnosis and addiction-related needs.
- Develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- Require urinalysis and/or other proven reliable forms of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody of the state or local government.
- Prepare inmates for successful community reintegration that may include post-release referral to appropriate evidence-based aftercare treatment and/or service providers including those that support the use of medication-assisted treatment.

If possible, RSAT participation should be limited to inmates with 6 to 12 months remaining in their confinement so they can be released from prison instead of returning to the general prison population after completing the program.

Jail-based program design must be based on effective scientific practices that:

- Engage inmates for at least 3 months.
- Focus on the inmate's substance abuse diagnosis and addiction-related needs.
- Develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- Require urinalysis and/or other proven reliable forms of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody of the state or local government.
- Prepare offenders for successful community reintegration that may include post-release referral to appropriate evidence-based aftercare treatment and/or service providers including those that support the use of medication-assisted treatment.

Jail-based programs are further required to separate the treatment population from the general correctional population.

Allocation to local correctional and detention facilities should be at least 10 percent of the total state allocation for fiscal year (FY) 2018—provided such facilities exist—for either residential substance use treatment programs or jail-based substance abuse treatment programs that meet the aforementioned criteria.

Per 34 U.S.C. 10422(c), to be eligible for funding under the RSAT Program, a state shall ensure that offenders who participate in the substance abuse treatment program established or implemented with assistance provided under this program will be provided with **aftercare services**. Aftercare services must involve coordination between the correctional treatment program and other social service and rehabilitation programs, such as education and job training, parole supervision, halfway houses, self-help, and peer group programs. To qualify as an aftercare program, the head of the substance abuse treatment program must work in conjunction with state and local authorities and organizations involved in substance abuse treatment to assist in the placement of program participants into community substance abuse treatment facilities upon release. In addition, states should coordinate these activities with any Substance Abuse and Mental Health Services Administration (SAMHSA)-funded state and/or local programs that address the needs of this target population. A state may use RSAT funding for community reintegration if the chief executive officer of the state certifies that the state is providing, and will continue to provide, an adequate level of residential treatment services.

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 website at <https://www.crimesolutions.gov/> is one resource that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Provision of Evidence-Based Substance Abuse Treatment Services: Applicants are required to provide substance abuse treatment practices and services that have a demonstrated evidence base and that are appropriate for the target population. Applicants should identify the evidence-based practice being proposed for implementation, identify and discuss the evidence that shows that the practice is effective, discuss the population(s) for which this practice has been shown to be effective, and show that it is appropriate for the proposed target population. Applicants can find information on evidence-based treatment practices in SAMHSA's *Guide to Evidence-Based Practices* available at www.samhsa.gov/ebpwebguide. The *Guide* provides a short description and a link to dozens of websites with relevant evidence-based practices information—either specific interventions or comprehensive reviews of research findings. Note that SAMHSA's *Guide* also references the National Registry of Evidence-Based Programs and Practices (NREPP), a searchable database of interventions for the prevention and treatment of mental disorders and substance abuse. NREPP is intended to serve as a decision support tool,

not as an authoritative list of effective interventions. Being included in NREPP, or in any other resource listed in the *Guide*, does not mean an intervention is “recommended” or that it has been demonstrated to achieve positive results in all circumstances. Applicants should document that the selected practice is appropriate for the specific target population and purposes of their projects.

Information Regarding Potential Evaluation of Programs and Activities

The Department of Justice has prioritized the use of evidence-based programming and deems it critical to continue to build and expand the evidence informing criminal and juvenile justice programs to reach the highest level of rigor possible. Therefore, applicants should note that the Office of Justice Programs may conduct or support an evaluation of the programs and activities funded under this solicitation. Recipients and sub-recipients will be expected to cooperate with program-related assessments or evaluation efforts, including through the collection and provision of information or data requested by OJP (or its designee) for the assessment or evaluation of any activities and/or outcomes of those activities funded under this solicitation. The information or data requested may be in addition to any other financial or performance data already required under this program.

B. Federal Award Information

Each participating state is allocated a base award of 0.4 percent of the total funds available for RSAT. BJA will allocate a portion of the total remaining funds to each participating state in the same percentage that the state’s prison population represents relative to the total prison population of all states. Awards are made in the fiscal year of the appropriation and may be expended during the following 3 years, for a total of 4 years. BJA estimates that it will make up to 56 awards for an estimated total of \$12,000,000 for a 48-month project period, beginning on October 1, 2017.

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

BJA expects that it will make any award from this solicitation 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 entities²) must, as described in the Part 200 Uniform Requirements³ 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

² For purposes of this solicitation, the phrase “pass-through entity” includes any entity eligible to receive funding as a recipient or subrecipient under this solicitation (or program announcement) that, if funded, may make a subaward(s) to a subrecipient(s) to carry out part of the funded program.

³ 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.

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 Department of Justice Grants Financial Management Online Training, available at <https://ojpfgm.webfirst.com/>. (This training is required for all OJP award recipients.)

Budget Information

Supplanting

Federal funds must be used to supplement existing funds for program activities and cannot replace, or supplant, nonfederal funds that have been appropriated for the same purpose.

Prohibited Uses

RSAT funds shall not be used for land acquisition or construction projects.

Cost Sharing or Match Requirement (cash or in-kind)

Federal funds awarded under this program may not cover more than 75 percent of the total costs of the project. An applicant must identify the source of the 25 percent nonfederal portion of the total project costs and how it will use match funds. If a successful applicant’s proposed match exceeds the required match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit. (“Match” funds may be used only for the purposes that would be allowable for the federal funds.) Recipients may satisfy this match requirement with either cash or in-kind services. See the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.3b.htm> for examples of “in-kind” services. The formula for calculating the match is:

Federal Award Amount = Adjusted (Total) Project Costs
Federal Share Percentage

Required Recipient's Share Percentage x Adjusted Project Cost = Required Match

Example: 75%/25% match requirement: for a federal award amount of \$350,000, calculate match as follows:

$$\frac{\$350,000}{75\%} = \$466,667 \quad 25\% \times \$466,667 = \$116,667 \text{ match}$$

For additional cost sharing and match information, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/doj/index.htm>.

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. If approved, pre-agreement costs could be paid from grant funds consistent with a grantee's approved budget, and under applicable cost standards. However, all such costs prior to award and prior to approval of the costs are incurred at the sole risk of an applicant. Generally, no applicant should incur project costs *before* submitting an application requesting federal funding for those costs. Should there be extenuating circumstances that appear to be appropriate for OJP's consideration as pre-agreement costs, the applicant should contact the point of contact listed on the title page of this announcement for details on the requirements for submitting a written request for approval. See the section on Costs Requiring Prior Approval in the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/DOJ/index.htm> for more information.

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

OJP strongly encourages applicants that propose 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 conference approval, planning, and reporting available at <https://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 of some conference, meeting, and training costs for grant recipients; and (3) set cost limits, including 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 2018 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 the 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 funds available.

NOTE: OJP has combined the Budget Detail Worksheet and Budget Narrative in a single document collectively referred to as the Budget Detail Worksheet. See “Budget Information and Associated Documentation” below for more information about the Budget Detail Worksheet and where it can be accessed.

OJP strongly recommends that applicants use appropriately descriptive file names (e.g., “Program Narrative,” “Budget Detail Worksheet,” “Timelines,” “Memoranda of Understanding,” “Résumés”) for all attachments. Also, OJP recommends that applicants include résumés in a single file.

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

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. On the SF-424, current OJP award recipients, when completing the field for “Legal Name” (box 8a), 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.) Also, these recipients should enter the Employer Identification Number (EIN) in box 8c 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 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 its official legal name, its address, its EIN, and its Data Universal Numbering System (DUNS). A new applicant entity should attach official legal documents to its application (e.g., articles of incorporation, 501(c)(3) status documentation,

organizational letterhead, etc.) to confirm the legal name, address, and EIN entered into the SF-424. OJP will use the System for Award Management (SAM) to confirm the legal name and DUNS number entered in the SF-424; therefore, an applicant should ensure that the information entered in the SF-424 matches its current registration in SAM. See the [How to Apply](#) section for more information on SAM and DUNS numbers.

Intergovernmental Review: This solicitation (“funding opportunity”) is subject to [Executive Order 12372](#). An applicant may find the names and addresses of State Single Points of Contact (SPOC) at the following website: <https://www.whitehouse.gov/wp-content/uploads/2017/11/Intergovernmental-Review-SPOC-01-2018-OFFM.pdf>. If the State appears on the SPOC list, the applicant must contact the State SPOC to find out about, and comply with, the State’s process under E.O. 12372. In completing the SF-424, an applicant whose State appears on the SPOC list is to make the appropriate selection in response to question 16 once the applicant has complied with its State E.O. 12372 process. (An applicant whose State does not appear on the SPOC list should answer question 16 by selecting the response that the “Program is subject to E.O. 12372 but has not been selected by the State for review.”)

2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or fewer. Project abstracts should be:

- Written for a general public audience.
- Submitted as a separate attachment with “Project Abstract” as part of its file name.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

All project abstracts should follow the detailed template available at <http://ojp.gov/funding/Apply/Resources/ProjectAbstractTemplate.pdf>.

As a separate attachment, the project abstract will **not** count against the 20-page limit for the program narrative.

3. Program Narrative

The program narrative must be double-spaced, using a standard 12-point font (Times New Roman preferred); have no less than 1-inch margins; should not exceed 20 pages; and pages should be numbered.

Applicants must submit a narrative that describes the proposed program activities for FY 2018 and changes, if any, since the previous application. The following sections should be included as part of the program narrative⁴:

a. Statement of the Problem

b. Project Design and Implementation. The following bulleted information should be included in this section:

- Program objectives.

⁴ For information on subawards (including the details on proposed subawards that should be included in the application), see "Budget and Associated Documentation" under [Section D. Application and Submission Information](#).

- Implementation process.
- Description of any changes in state law or policy requiring substance abuse testing of offenders in correctional/residential substance abuse treatment programs, including offenders released but remaining in state custody.
- Number, or estimated number, of offenders tested for the use of illegal substances during the last calendar year.
- Explanation of how the state coordinated the design and implementation of treatment programs between state correctional representatives and the state alcohol and drug abuse agency (and, if appropriate, between representatives of local correctional agencies and representatives of either the state alcohol and drug abuse agency or any appropriate local alcohol and drug abuse agency).
- Description of the treatment service(s)/practice(s) including access to medication-assisted treatment (MAT) available for residential substance abuse treatment participants and how those services are currently monitored for quality and effectiveness. Discuss the evidence that shows that the treatment service(s) and/or practice(s) is/are effective with the target population. If the evidence is limited or nonexistent for the target population, provide other information to support the intervention selection including validated screening and assessment tools used to support the intervention. Provide local data and any evaluation findings that demonstrate the program's impact with regard to offender and community outcomes.
- Explanation of how funded programs will address the inclusion of opioid abuse reduction treatment and services.
- Description of how the applicant will ensure that offenders who participate in the RSAT program will be provided with community reintegration services. Describe how the applicant will ensure providers furnishing reintegration services are approved by the appropriate state or local agency, and are licensed, if necessary, to provide medical treatment or other health services. Describe the reintegration services that will be provided.
- Explanation of how the state will coordinate RSAT's design and implementation at the state and local levels and how funds will be coordinated with federal assistance for substance abuse treatment and reintegration services provided by SAMHSA.
- Explanation of how the state might coordinate RSAT-funded programs with the federal Second Chance Act (SCA) (if applicable) (see <https://csqjusticecenter.org/nrrc/projects/second-chance-act>). If no coordination with SCA is planned, briefly describe why.
- Explanation of planning and implementation strategies to: (1) identify and enroll uninsured offenders into Medicaid or other health insurance; and (2) increase access to and use of primary healthcare and substance abuse and mental health treatment for newly insured offenders in order to ensure continuity of care and improve recidivism outcomes for RSAT participants after release from incarceration.
- Description of any federal awards, including other DOJ awards, which also will support RSAT efforts.

c. Plan for Collecting the Data Required for this Solicitation's Performance Measures

OJP will require each successful applicant to submit regular performance data that demonstrate the results of the work carried out under the award (see "[General Information about Post-Federal Award Reporting Requirements](#)" in [Section F. Federal Award Administration Information](#)). The performance data directly relate to the objectives

and deliverables identified under "Objectives and Deliverables" in [Section A. Program Description](#).

More information on performance measurement at OJP is provided at www.ojp.gov/performance.

The application should demonstrate the applicant's understanding of the performance data reporting requirements for this grant program and detail how the applicant will gather the required data should it receive funding.

Please note that applicants are **not** required to submit performance data with the application. Performance measures information is included as an alert that successful applicants will be required to submit performance data as part of the reporting requirements under an award.

Post award, recipients will be required to provide the relevant data by submitting quarterly performance metrics through BJA's online Performance Measurement Tool (PMT) located at: <https://bjapmt.ojp.gov>. Applicants should review the complete list of Residential Substance Abuse Treatment performance measures found here: <https://bjapmt.ojp.gov/help/RSATPerformanceMeasures.pdf>

Note on Project Evaluations

An applicant that proposes to use award funds through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations designed to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects protection regulations. However, project evaluations that are intended only to generate internal improvements to a program or service, or are conducted only to meet OJP's performance measure data reporting requirements, likely do not constitute "research." Each applicant should provide sufficient information for OJP to determine whether the particular project it proposes would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ definition of research that appears at 28 C.F.R. Part 46 ("Protection of Human Subjects").

"Research," for purposes of human subjects protection for OJP-funded programs, is defined as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." 28 C.F.R. 46.102(d).

For additional information on determining whether a proposed activity would constitute research for purposes of human subjects protection, applicants should consult the decision tree in the "Research and the protection of human subjects" section of the ["Requirements related to Research"](#) webpage of the ["Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards,"](#) available through the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. Every prospective applicant whose application may propose a research or statistical component also should review the "Data Privacy and Confidentiality Requirements" section on that webpage.

- d. **Time/Task Plan.** Include a Time/Task Plan that identifies the dates of the major tasks/activities of your RSAT Program.

4. Budget and Associated Documentation

The Budget Detail Worksheet and the Budget Narrative are now combined in a single document collectively referred to as the Budget Detail Worksheet. The Budget Detail Worksheet is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals. Additionally, the Excel workbook contains worksheets for multiple budget years that can be completed as necessary. **All applicants should use the Excel version when completing the proposed budget in an application, except in cases where the applicant does not have access to Microsoft Excel or experiences technical difficulties.** If an applicant does not have access to Microsoft Excel or experiences technical difficulties with the Excel version, then the applicant should use the 508-compliant accessible Adobe Portable Document Format (PDF) version.

Both versions of the Budget Detail Worksheet can be accessed at <https://ojp.gov/funding/Apply/Forms/BudgetDetailWorksheet.htm>.

a. Budget Detail Worksheet

The Budget Detail Worksheet should provide the detailed computation for each budget line item, listing the total cost of each and showing how it was calculated by the applicant. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid with grant funds. The Budget Detail Worksheet should present a complete itemization of all proposed costs.

For questions pertaining to budget and examples of allowable and unallowable costs, see the DOJ Grants Financial Guide at <https://ojp.gov/financialguide/doj/index.htm>.

b. Budget Narrative

The Budget Narrative should thoroughly and clearly describe **every** category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

An applicant should demonstrate in its budget narrative how it will maximize cost effectiveness of award expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the objectives of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The Budget Narrative should be mathematically sound and correspond clearly with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated **all** costs, and how those costs are necessary to the completion of the proposed project. The narrative may include tables for clarification purposes, but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the budget narrative should describe costs by year.

c. Information on Proposed Subawards (if any), as well as on Proposed Procurement Contracts (if any)

Applicants for OJP awards typically may propose to make "subawards." (Consult the OJP Invitation Letter for any restrictions on subawards that are specific to the particular

invitation.) Applicants also may propose to enter into procurement "contracts" under the award.

Whether an action—for federal grants administrative purposes—is a subaward or procurement contract is a critical distinction as significantly different rules apply to subawards and procurement contracts. If a recipient enters into an agreement that is a subaward of an OJP award, specific rules apply—many of which are set by federal statutes and DOJ regulations; others by award conditions. These rules place particular responsibilities on an OJP recipient for any subawards the OJP recipient may make. The rules determine much of what the written subaward agreement itself must require or provide. The rules also determine much of what an OJP recipient must do both before and after it makes a subaward. If a recipient enters into an agreement that is a procurement contract under an OJP award, a substantially different set of federal rules applies.

OJP has developed the following guidance documents to help clarify the differences between subawards and procurement contracts under an OJP award and outline the compliance and reporting requirements for each. This information can be accessed online at <https://ojp.gov/training/training.htm>.

- [Subawards under OJP Awards and Procurement Contracts under Awards: A Toolkit for OJP Recipients.](#)
- [Checklist to Determine Subrecipient or Contractor Classification.](#)
- [Sole Source Justification Fact Sheet and Sole Source Review Checklist.](#)

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 will 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 nonfederal 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. The substance of the relationship should be given greater consideration than the form of agreement between the recipient and the outside entity.

1. 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

Program Narrative, Budget Detail Worksheet, and Budget Narrative as approved by OJP. If, however, a particular subaward is not authorized by federal statute or regulation, and is not 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. Pertinent information on subawards should appear not only in the Program Narrative, but also in the Budget Detail Worksheet and Budget Narrative.

2. 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 Part 200 Uniform Requirements (as set out at 2 C.F.R. 200.317 - 200.326). The Budget Detail Worksheet and Budget Narrative should identify proposed procurement contracts. (As discussed above, subawards must be identified and described separately from procurement contracts.)

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. All noncompetitive (sole source) procurement contracts must meet the OJP requirements outlined at <https://ojp.gov/training/subawards-procurement.htm>. 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 non-competitive 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.

If the applicant receives an award, sole source procurements that do not exceed the Simplified Acquisition Threshold (currently \$150,000) must have written justification for the noncompetitive procurement action maintained in the procurement file. If a procurement file does not have the documentation that meets the criteria outlined in 2 C.F.R. 200, the procurement expenditures may not be allowable. Sole source procurement over the \$150,000 Simplified Acquisition Threshold must have prior approval from OJP using a Sole Source Grant

Adjustment Notice (GAN). Written documentation justifying the noncompetitive procurement must be submitted with the GAN and maintained in the procurement file.

d. Pre-Agreement Costs

For information on pre-agreement costs, see [Section B. Federal Award Information](#).

5. Indirect Cost Rate Agreement (if applicable)

Indirect costs may be charged to an award only if:

- (a) The recipient has a current (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 Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 or at 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.

Certain OJP recipients have the option of electing to use the “de minimis” indirect cost rate. An applicant 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.) For the “de minimis” rate requirements (including on eligibility to elect to use the rate), see Part 200 Uniform Requirements, at [2 C.F.R. 200.414\(f\)](#).

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

Every OJP applicant (other than an individual applying in his or her personal capacity) is required to download, complete, and submit the OJP Financial Management and System of Internal Controls Questionnaire (Questionnaire) located at <https://ojp.gov/funding/Apply/Resources/FinancialCapability.pdf> as part of its application. The Questionnaire helps OJP assess the financial management and internal control systems, and the associated potential risks of an applicant as part of the pre-award risk assessment process.

The Questionnaire should only be completed by financial staff most familiar with the applicant's systems, policies, and procedures in order to ensure that the correct responses are recorded and submitted to OJP. The responses on the Questionnaire directly impact the pre-award risk assessment and should accurately reflect the applicant's financial management and internal control system at the time of the application. The pre-award risk assessment is only one of multiple factors and criteria used in determining funding. However, a pre-award risk assessment that indicates that an applicant poses a higher risk to OJP may affect the funding decision and/or result in additional reporting requirements, monitoring, special conditions, withholding of award funds, or other additional award requirements.

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).

7. Disclosure of Lobbying Activities

Each applicant must complete and submit this information. An applicant that expends any funds for lobbying activities is to provide all of the information requested on the form [Disclosure of Lobbying Activities \(SF-LLL\)](#). An applicant that does not expend any funds for lobbying activities is to enter "N/A" in the text boxes for item 10 ("a. Name and Address of Lobbying Registrant" and "b. Individuals Performing Services").

8. Additional Attachments

a. 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 any 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.

Federal or State Funding Agency	Solicitation Name/Project Name	Name/Phone/Email for Point of Contact at Funding Agency
DOJ/Office of Community Oriented Policing Services	COPS Hiring Program	Jane Doe, 202/000-0000; jane.doe@usdoj.gov
Health & 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 any identical cost items outlined in the budget submitted as part of this application."

b. Research and Evaluation Independence and Integrity

If an application proposes research (including research and development) and/or evaluation, the applicant must demonstrate research/evaluation independence and integrity, including appropriate safeguards, before it may receive award funds. The applicant must demonstrate independence and integrity regarding both this proposed research and/or evaluation, and any current or prior related projects.

Each application should include an attachment that addresses **both** i. and ii. below.

- i. For purposes of this solicitation, each applicant is to document research and evaluation independence and integrity by including one of the following two items:
 - a. A specific assurance that the applicant has reviewed its application to identify any actual or potential apparent conflicts of interest (including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients), and that the applicant has identified no such conflicts of interest—whether personal or financial or organizational (including on the part of the applicant entity or on the part of staff, investigators, or subrecipients)—that could affect the independence or integrity of the research, including the design, conduct, and reporting of the research.

OR

- b. A specific description of actual or potential apparent conflicts of interest that the applicant has identified—including through review of pertinent information on the principal investigator, any co-principal investigators, and any subrecipients—that could affect the independence or integrity of the research, including the design, conduct, or reporting of the research. These conflicts may be personal (e.g., on the part of investigators or other staff), financial, or organizational (related to the applicant or any subrecipient entity). Some examples of potential investigator (or other personal) conflict situations are those in which an investigator would be in a position to evaluate a spouse's work product (actual conflict), or an investigator would be in a position to evaluate the work of a former or current colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization would not be given an award to evaluate a project, if that organization had itself provided substantial prior technical assistance to that specific project or a location implementing the project (whether funded by OJP or other sources), because the organization in such an instance might appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability of an evaluation or research product is a problem and must be disclosed.
- ii. In addition, for purposes of this solicitation, each applicant is to address possible mitigation of research integrity concerns by including, at a minimum, one of the following two items:
 - a. If an applicant reasonably believes that no actual or potential apparent conflicts of interest (personal, financial, or organizational) exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. The applicant also is to include an explanation of the specific processes and procedures that the applicant has in place, or will put in place, to identify and prevent (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational,

personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OR

- b. If the applicant has identified actual or potential apparent conflicts of interest (personal, financial, or organizational) that could affect the independence and integrity of the research, including the design, conduct, or reporting of the research, the applicant is to provide a specific and robust mitigation plan to address each of those conflicts. At a minimum, the applicant is expected to explain the specific processes and procedures that the applicant has in place, or will put in place, to identify and eliminate (or, at the very least, mitigate) any such conflicts of interest pertinent to the funded project during the period of performance. Documentation that may be helpful in this regard may include organizational codes of ethics/conduct and policies regarding organizational, personal, and financial conflicts of interest. There is no guarantee that the plan, if any, will be accepted as proposed.

OJP will assess research and evaluation independence and integrity based on considerations such as the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the applicant entity (and any subrecipients) in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

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** and should **register immediately** to meet the GMS registration deadline for this funding opportunity, 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/. An applicant that experiences technical difficulties during this process should email GMS.HelpDesk@usdoj.gov or call 888–549–9901 (option 3), available 24 hours a day, 7 days a week, including on federal holidays. OJP recommends that each applicant **register immediately** 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.”

Unique Entity Identifier (DUNS Number) and System for Award Management (SAM)

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. SAM is the repository for certain standard information about federal financial assistance applicants, recipients, and subrecipients. A DUNS number is a unique nine-digit identification number provided by the commercial company Dun and Bradstreet. More detailed information about SAM and the DUNS number is in the numbered sections below.

If an applicant entity has not fully complied with the 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.

If the applicant entity already has an Employer Identification Number (EIN), the SAM registration will take **up to two weeks to process**. If the entity does not have an EIN, then **the applicant should allow two to five weeks for obtaining the information from IRS when requesting the EIN via phone, fax, mail or Internet**. For more information about EIN, visit <https://www.irs.gov/individuals/international-taxpayers/taxpayer-identification-numbers-tin>.

Registration and Submission Steps

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.

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/. A DUNS number is usually received within 1–2 business days.

2. **Acquire or maintain registration with SAM.** Any applicant for an OJP award creating a **new** entity registration in SAM.gov must provide an original, signed notarized letter stating that the applicant is the authorized Entity Administrator before the registration will be activated. To learn more about this process change, read the FAQs at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/sam-update>. Information about the notarized letter is posted at https://www.fsd.gov/fsd.gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183.

All applicants for OJP awards (other than individuals) must maintain current registrations in the SAM database. Applicants will need the authorizing official of the organization and an Employer Identification Number (EIN). An applicant must be registered in SAM to successfully register in Grants.gov. 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 (2 more weeks to acquire an EIN).

Information about SAM registration procedures can be accessed at 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.gms.gov) home page. For more information on how to register in GMS, go to 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 BJA and BJA FY 18 RSAT.
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 funding opportunity 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, an applicant 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. See Note on File Types, above.

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) at <https://www.fsd.gov/fsd-gov/home.do> to report the technical issue and receive a tracking number. The applicant must email the BJA 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 or browser incompatibility.

E. Application Review Information

Review Process

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

Pursuant to the Part 200 Uniform Requirements, before award decisions 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; "FAPIS").

Important note on FAPIS: An applicant, at its option, may review and comment on any information about itself that currently appears in FAPIS and was entered by a federal awarding agency. OJP will consider any such comments by the applicant, in addition to the other information in FAPIS, 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. Applicant's history of performance under OJP and other DOJ awards (including compliance with reporting requirements and award conditions), as well as awards from other federal agencies.
4. Reports and findings from audits of the applicant, including audits under the Part 200 Uniform Requirements.
5. 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, 2018. OJP sends award notifications by email through GMS to the individuals listed in the application as the point of contact and the authorizing representative. 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 and submission 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 all award conditions, as well as all applicable requirements of federal statutes and 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 2018 Awards](https://ojp.gov/funding/index.htm),” available in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>. 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. (An applicant is not required to submit these documents as part of an application.)

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

The web pages accessible through the “[Overview of Legal Requirements Generally Applicable to OJP Grants and Cooperative Agreements - FY 2018 Awards](https://ojp.gov/funding/index.htm)” 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 2018. Individual OJP awards typically also will include additional award conditions. Those additional conditions may relate to the particular statute or 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 identified 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, semi-annual reports, final financial and progress reports, 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 website at <http://ojp.gov/funding/FAPIS.htm>.

Data on performance measures. In addition to required reports, each award recipient 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 award recipient, post award, to provide performance data as part of regular progress reporting. Successful applicants will be required to access OJP's performance measurement page at www.ojp.gov/performance to view the specific reporting requirements for this grant program. Applicants should review the complete list of RSAT program performance measures at <https://bjapmt.ojp.gov/help/RSATPerformanceMeasures.pdf>.

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 5 U.S.C. 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 the 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, we encourage applicants to provide feedback on this Guidance, the application submission process, and/or the application review process. Feedback may be provided to 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 this invitation or guidance **must** use the appropriate telephone number or email listed in the OJP Invitation Letter 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 résumé to ojppeerreview@lmsolas.com. (Do not send your résumé 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

FY 2018 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program

This application checklist has been created to assist in developing an application.

What an Applicant Should Do:

Prior to Registering in GMS:

- _____ Acquire a DUNS Number (see page 22)
- _____ Acquire or renew registration with SAM (see page 22)

To Register with GMS:

- _____ For new users, acquire a GMS username and password* (see page 22)
- _____ For existing users, check GMS username and password* to ensure account access (see page 22)
- _____ Verify SAM registration in GMS (see page 22)
- _____ Search for correct funding opportunity in GMS (see page 23)
- _____ Register by selecting the "Apply Online" button associated with the funding opportunity title (see page 23)
- _____ Read OJP policy and guidance on conference approval, planning, and reporting available at <https://ojp.gov/financialguide/doj/index.htm>
- _____ If experiencing technical difficulties in GMS, contact NCJRS (see page 23)

*Password Reset Notice – GMS users are reminded that while password reset capabilities exist, this function is only associated with points of contacts 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 2018 Awards](https://ojp.gov/funding/index.htm)" in the OJP Funding Resource Center at <https://ojp.gov/funding/index.htm>.

Scope Requirement:

- _____ The federal amount requested is within the allowable limit(s).

Eligibility Requirement: Eligible applicants are limited to states. For purposes of this solicitation, "states" are defined as all U.S. states, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Northern Mariana Islands.

What an Application Should Include:

- _____ Application for Federal Assistance (SF-424) (see page 10)
- _____ Intergovernmental Review (see page 11)
- _____ Project Abstract (see page 11)
- _____ Program Narrative (see page 11)
- _____ Budget Detail Worksheet (see page 14)
- _____ Budget Narrative (see page 14)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 17)
- _____ Financial Management and System of Internal Controls Questionnaire (see page 17)
- _____ Disclosure of Lobbying Activities ([SF-LLL](#)) (if applicable) (see page 18)
- _____ Additional Attachments
 - _____ Applicant Disclosure of Pending Applications (see page 18)
 - _____ Research and Evaluation Independence and Integrity (see page 19)

**Department of Education and Early Development
Alaska State Council on the Arts**

Subject of RPL: Increase SDPR authorization to accept additional private grants for Arts in Education programs and initiatives	ADN/RPL #: 05-9-0045
Amount requested: \$385,000	Appropriation Authority: Sec1 Ch17 SLA2018 pg12 ln5
Funding source: Statutory designated program receipts (SDPR) MACP (Margaret A. Cargill Foundation) RAS (Rasmuson Foundation)	Statutory Authority: AS 44.27.050, AS 44.27.052.

PURPOSE

This increase in funding from the Rasmuson Foundation and Margaret A. Cargill Foundation (MACF) will support 80% of The Alaska State Council on the Arts' (ASCA) Arts in Education (AIE) programs and initiatives.

Specifically, ASCA received a 50% increase in Rasmuson Foundation funds for the next three fiscal years to hire an Arts Research and Community Engagement Fellow, an Arts Education Project Assistant and underwrite grants for Arts in Education. Funds will also support ASCA's Youth Cultural Heritage program which includes grants, project coordination and film documentation. The beneficiaries are underserved and culturally diverse youth and their families. Rasmuson Foundation and ASCA have been partners since 2004. This is the first time The Foundation has invited ASCA to apply for more stable three-year funding vs. annual contracts as in the past.

The increase from Margaret A. Cargill Foundation will support development of competent K-12 generalist and specialist teachers as they have since March 2014, when The Foundation approached ASCA to serve as an intermediary grantee. The purpose of this initiative is to identify partners and develop a community specific plan for increasing the number and tenure of confident educators who teach *in* and *through* arts and culture in Alaska. In particular, the project develops methods of support for pre-service and early career professional development in arts discipline-based, arts integration and culturally responsive arts teaching methodologies for new teachers. This project will be conducted in partnership with a school district, an institute of higher education, and a nonprofit organization. This project is in Year 4 in Kodiak School District and the increase in funding is to begin planning with Anchorage School District and local partners.

In 2017-18, ASCA's AIE programs and grants underwent a significant, six-month evaluation led by Jodevi Consulting, generously contracted by Rasmuson Foundation. The evaluation targeted three lines of inquiry: impact and effectiveness of current program strategies; degree to which funding programs are and could be strategic and outcomes-based; and alignment across the spectrum of grants and programs within targeted areas of work. ASCA is in agreement with Jodevi's recommendations, especially the urgent need to increase ASCA's organizational capacity if ASCA is to remain relevant, sustainable and capable of leveraging opportunities that advance Alaska's dynamic arts and culture scene in the next ten years. Expansion of organizational capacity is critical to ASCA's ability to meaningfully serve the unique and rapidly evolving cultural and creative needs of Alaskan communities. A copy of this evaluation is available upon request.

PREVIOUS LEGISLATIVE CONSIDERATION

There are no prior legislative considerations for this increase.

In July 2017, ASCA became a public corporation for the purpose of accelerating existing partnerships and generating new revenue streams for ASCA's programs, grants and services which leverage the state's investment beyond the current 1:5 ratio, with the state portion being one and combined private/foundation and federal funds being five.

TIMING ISSUES

This funding increase was not included in the FY2019 budget because the Rasmuson Foundation Tier II grant application was submitted in April 2018 and funded in July 2018. ASCA received the first half of the FY2019 grant award in September 2018 and is scheduled to receive the second half in January 2019. In combination with the increase in MACF funds, revenue will exceed the FY2019 authorization for the statutory designated program receipts funding source.

Program implementation plans are underway to meet deliverables and conditions of the awards. A copy of the Rasmuson Foundation Tier II proposal and the MACF proposals are available on request. Consequences of delay or disapproval will result in delayed funding for ASCA's programs and grants that reach Alaska Native youth, underserved culturally diverse students and their schools. Plans with MACF to develop a second teacher education site/learning community which builds cultural connections and increases academic performance would be paused or cancelled. Disapproval would result in a return of private foundation funds which leverage the state's investment as described above, as well as cancellation of continuing contracts for management of this work in coordination with ASCA. Delay or disapproval will result in loss of future funding from longstanding partners and more reliance of the state's General Fund.

BUDGETARY ISSUES

Foundation and private funding from these two sources is expected to increase as ASCA's capacity expands and funders renew agreements in the next ten years. These increases meet ASCA's strategic plans, missions and measures and mutually benefit ASCA and funding partners. This funding fits into long-term plans, missions and measures of ASCA's Arts in Education programs. Planning for ASCA's next strategic plan begins in FY2020 and includes benchmarks and impact through work achieved in partnership with these two foundations. A solid strategic plan with forward progression of goals is mandatory for ASCA's FY2022 application to the National Endowment for the Arts (NEA) to secure Alaska's fair share of federal funding.

The impact on staff positions is the benefit of contract support for ASCA's growing Arts Education Programs. Of note, ASCA has been operating under capacity with increased workloads since 2016 which is not a sustainable model for an organization with a statewide mission as mentioned in the recent external evaluation. ASCA has begun spending the Rasmuson Foundation award funds to hold a statewide conference as set forth in ASCA's Tier III Proposal.

This FY2019 request will be spent by June 30, 2019. There is no impact on indirect costs or fees for services. An increase in authorization has been requested in the FY2020 budget in the amount of \$1.1 million to accommodate a pending 5-10 year agreement with Margaret A. Cargill Foundation for teacher education in the arts and cultural competency in Anchorage.

Legislative Fiscal Analyst Comment: Both the Rasmuson and Margaret A. Cargill foundations have supported ASCA activities in the past, including through an RPL in FY16. There are no technical issues with this RPL.

Agency Contact: Andrea Noble-Pelant, ASCA Executive Director, (907) 269-6610

LFD Contact: Alexei Painter (907) 465-5434

From: [Noble-Pelant, Andrea L \(EED\)](#)
To: [Biles, Rhonda M \(EED\)](#)
Subject: FW: OMB Request
Date: Thursday, October 25, 2018 1:06:46 PM
Attachments: [NewSitePlanningProcessMemorandum.ASCA_April2018.docx](#)
[RE_Memo_regarding_new_MACP_Planning_Site_ASCA_as...pdf](#)
[Munartet Project Budget_Ys3-5_Fluxx.xlsx](#)
[Revised Munartet Project Budget_Ys3-5_Fluxx.xlsx](#)

Rhonda,

Laura sent everything – perhaps too much – so I’m forwarding to you to make the best decision about what OMB needs.

Please let me know what you decide to forward to the committee.

Thanks,
Andrea

From: Forbes, Laura M (EED)
Sent: Thursday, October 25, 2018 11:53 AM
To: Noble-Pelant, Andrea L (EED) <andrea.noble@alaska.gov>
Cc: Lowell, Keren E (EED) <keren.lowell@alaska.gov>; Diaz, Coley L (EED) <Coley.Diaz@alaska.gov>
Subject: Re: OMB Request

Hi Andrea,

Attached are four documents that help clarify the rationale behind our request for increased authorization related to the anticipated receipt of MACP funds in support of the New Site Planning Process, which has been revised within the scope of the current three years of funding for the Munartet Project. Below is a timeline of that Planning Process, as well as a summary and description of the attachments.

In the current, three-year MACP award in support of the Munartet Project (Feb. 2018 - December 2020), we proposed funding to support a New Site Planning Process. The original proposal called for that activity to take place in year 3 (year 5 of the project.) Based on the changing situation outlined in the attached Memorandum, the New Site Planning Process will now be occurring earlier, in years 1 and 2 (years 3 and 4 of the project). Based on the proposed revisions to the project which were provided to MACP and accepted in the spring of 2018, MACP has committed to sending an additional, early payment in the amount of \$100,000 by December of 2018 in support of this activity. The third and final payment in support of the Munartet Project scheduled for April 2020 in the amount of \$490,000 will be reduced by the same amount. ASCA will still receive the originally scheduled second payment in the amount of \$660,000, in April of 2019.

The three attached documents include:

- 1) The memorandum that describes the revision to the originally proposed Munartet Project for the current funding period, specifically detailing the changes to the New Site Planning Process. This memorandum was sent to the MACP program officer--Judi Petkau--in spring of 2018. The memo was subsequently accepted, and added to the grant file.
- 2) The email from the program officer documenting receipt of the revision memo, and acceptance and addition of the memo to the original grant proposal.
- 3) The original, complete budget proposal for the Munartet Project.
- 4) The revised budget proposal, reflecting the need to move New Site Planning Process expenditures up to years 1-2 (years 3-4 of the project).

The current working timeline for the New Site Planning Process, working with University of Alaska, Anchorage, Lake and Peninsula School District, Anchorage Museum and Alaska Native Heritage Center is as follows:

ASCA proposes to work with UAA, School of Education with Northern Journeys Project Leader, Hilary Seitz, and colleagues to develop a planning partnership with PSD and NPA partners. Over the course of the next year, ASCA will work with the UAA team to:

- Work with lead (Institute of Higher Education) IHE partner UAA to identify and invite (Public School District) PSD and (Nonprofit Arts) NPA partners to the table (tentatively, Lake and Peninsula School District, Anchorage Museum and Alaska Native Heritage Center-).
- Identify and contract with a planning facilitator.
- Grant funds to each planning partner to support their engagement with the planning process, including regular planning meetings (grant agreements will serve as partner commitment to the planning process).
- Develop a MACP site plan and grant proposal for planning partners for review, revision and finalization.
- Submit a final proposal to MACP for the first 2-3 years of implementation funding starting in January 2020.

Timeline:

- Summer/Fall of 2018—ASCA as intermediary and UAA as the IHE lead partner, will explore and invite a PSD and NPA partners to engage in the planning process.
- August 2018 to May 2019—ASCA/UAA will invite and make grants to planning partners; identify and contract with a planning facilitator; planning will occur from December - May.
- Spring/Fall of 2019—ASCA as intermediary will develop a funding proposal for the New Site partnership, to be reviewed and submitted to MACP after review and approval from the planning partnership; concept to be submitted in April/May; final proposal to be submitted in July 2019.

- January 2020 —Anticipated award in support of a new MACP site building on the Northern Journeys work with UAA as the lead partner; action planning and pre-service/early career teacher recruitment over winter/spring of 2020,
- Fall 2020--New site cohorts begin in fall of 2020.

Date: April 30, 2018

From: Laura Forbes

To: Margaret A. Cargill Philanthropies, Judi Petkau

Subject: New Site Planning Process, including updates to Proposal R-4192

Introduction

In the Alaska State Council on the Arts (ASCA) proposal for continuation of funding for the *Munartet Project: teaching in and through arts and cultures in Kodiak*, one of the proposed objectives included a new MACP site planning process. Since the review and award of this funding for years 3-5 of the Munartet project, ASCA and University of Alaska, Anchorage (UAA) have been in discussion.

In 2018, Anchorage School District determined it would not be continue as a partner in the Anchorage site *Northern Journeys* with IHE partner UAA, and NPA partners Anchorage Museum and Alaska Native Heritage Center. UAA is currently planning for a bridge year of the Anchorage-based pre-service cohort, and is working with ASCA to explore the possibility of partnership as an intermediary for a new proposal. While this represents a shift from ASCA's original proposal to conduct a new MACP site planning process with a PSD partner as lead, ASCA is committed to working with UAA as a lead partner and on a revised timeline.

This memo includes the original intent of ASCA's proposed activity, in line with any changes this exploratory revision might represent. In general, the intent of the new site planning process will be defined by the following:

- 1) Intentional exploration of how to build on the Northern Journeys work with IHE and NPA partners interested in continuation of positive outcomes aligned with MACP and ASCA priorities.
- 2) A planning process developed on the premise that:
 - a. Project partners come to the table by invitation, and with an understanding that a site plan must meet the mission and strategic priorities of each core partner, as well as a coherent project mission
 - b. Project partners are committed to ongoing partnership, over a period of up to ten years, and the ultimate goal of embedding the project outcomes, objectives and activities into organizational culture.
 - c. Project partners are willing and able to support the project with leadership and engagement with constituent communities, long term.
- 3) Project facilitation—though contracted by ASCA as intermediary—should take into account the assets and needs of each core partner, and will result in the submission of a proposal that leverages existing interests, work and community capacities.

Proposed Outcomes, Objectives and Activities

This new site planning process relates to **MACP Outcome #3**: "A sustainable and balanced collaboration across higher education, K-12 and arts partners is built, focusing on teacher development in and through arts and cultures."

The activity falls within **ASCA Objective #7**:

"In alignment with MACP Outcome #3, by the end of year three (5 of the project), the Munartet Project will expand its reach and impact by: 2) participating in a statewide effort to grow arts education in Alaska, including exploration of potential additional MACP sites.

Activity includes:

“Year 1: Explore the potential for additional MACP sites, with a focus on school districts that are either: in the New Visions network; or connected to either University of Alaska Fairbanks or University of Alaska Southeast by geographic or programmatic proximity.”

“Year 3: Conduct a MACP planning process with a potential additional MACP site. Submit an implementation application, should the result of the planning process indicate.”

Anticipated Revision to the Proposed Outcomes, Objectives and Activities

At core, the targeted Outcomes and Objectives have not changed. The Activities are anticipated to change in that:

- 1) The timeline will be shortened to include a planning process starting in Year 1 (Year 3 of the Project), rather than beginning in Year 3 (Year 5 of the Project). Over the spring and summer of 2018, ASCA as intermediary and UAA as the IHE lead partner, will explore and invite a PSD and NPA partners to engage in the planning process. Planning will occur during the course of Year 1 (ending December 31, 2018) and the early months of Year 2 (starting January 1, 2018). This may mean a need to adjust funds available in the grant, personnel, outside resources and travel lines for Year 1, which ASCA is already exploring in advance of the turn of the fiscal year from 2018 to 2019 (July 1, 2018).
- 2) The lead partner focus for this new site will be an IHE (UAA), rather than a PSD partner. This represents a new approach for ASCA as intermediary, and will require different approaches to the invitational process, as well. In the case of the Munartet Project, four core partners (one lead PSD partner, one IHE partner and two NPA partners) began the planning process with a completely open slate, while the IHE and NPA partners for the Northern Journeys project have already established some strong work around the MACP outcomes. Preliminary discussion with each of the Northern Journeys current partners will be critically important to understanding how a site planning process can build on established work and relationships, while remaining open to the needs and priorities of a new PSD partner.

Proposed Project Summary

“In year one, (year 3 of the project), ASCA will explore the potential to add a MACP site, with a focus on school districts that are either: in the New Visions Network: or are connected to either University of Alaska Fairbanks or University of Alaska Southeast by geographic or programmatic proximity. Our experience operating as an intermediary in granting to collective approaches to arts education in Alaska—including the Munartet Project—indicate that this exploration would best be applied to a PSD lead partner that has some enabling factors already in place. These factors include some experience with partnership/coalitions in support of teachers; some capacity to participate in planning for a long term initiative including strategic leadership; and a stated desire to increase positive educational outcomes through arts and culture in the district. Indicators of this readiness may include evidence arts and culture activity in curriculum and professional development plans, or in school district strategic planning documents and adopted curricula; the inclusion of arts specialists, arts/cultural integration resources for classroom teachers and artist/culture bearer residencies within the schools; already existing partnerships with an IHE and/or NPA in their locality or region; and participation of school leaders/teacher leaders in arts and culture activities such as professional association memberships, conferences, institutes and community-based arts/culture organizations and groups.”

Anticipated Revisions to the Project Summary

While the lead partner focus will change, ASCA will continue to work with the “enabling factors” concept from the original proposal as a way to consider how a new site might incorporate existing strengths and assets within the scope of the planning process. And though the initial proposal intended to develop additional IHE site relationships (Kodiak College is a UAA branch campus within the UA system), the revision of the new site planning process creates an opportunity to more deeply engage with UAA at a time that the UA system, School of Education is engaging in redevelopment across the main campuses (UAA, UAF and UAS).

Proposed Budgetary and Regranting Considerations

The original proposal for a new site planning process budget narrative included the following categories of expenditure:

- In year three (year 5 of the project), we have included an additional \$5000 in personnel costs, in relation to the expected MACP planning process with an additional site project. This amounts to an additional 5% of salary and wages for Laura Forbes as Arts Education Program Director.
- In year 3, (year 5 of the project) we have budgeted \$35,000 for an outside consultant to work with ASCA on a planning process for a new MACP site. This is in line with the contracted planning cost in FY15, when ASCA originally developed the Munartet Project.
- The year 3 (year 5 of the project) budget reflects the same priorities as the year 1 travel budget. It also reflects an additional \$5,000 that would be utilized in support of a MACP planning process for a new site. Travel would include consultant, staff, and partner travel to come together over the course of a 4-6 month planning period in year three. We have included an additional \$5,000 in the Grants Made to Others line item for year three, that will be granted directly to planning partners involved in a new MACP site planning process.
- There is an additional \$35,000 included in the year three, Grants Made to Others, line item, in support of a new MACP site planning process. It is anticipated that there will be \$30,000 in support of time, space, supplies and convening wrapped into partner grants for up to three partners, yet to be determined. Based on our experience with the Munartet Project planning process, we have also budgeted up to \$5,000 to be granted directly to partners in support of travel related to the planning process. Since we are planning to work with a school district as a lead partner in a new planning process, re-granted travel would likely go to partners in support of IHE, and NPA travel to/within a school district in support of the planning process. PSD partner travel would likely be limited to travel within the district. ASCA has included an additional \$5,000 in the Travel line item to be used for ASCA consultants, staff and other stakeholders from outside the district. By including some of the travel in the Grants Made to Others and in the Travel line for ASCA's budget, we will have the greatest flexibility as the potential new MACP site and partners, are identified.

In the case of any new MACP site partnerships, the regranting process will be invitational. ASCA will reflect the same procedure for granting and reporting as has been developed through the Munartet planning and implementation processes, in working with any new MACP site partners as secondary grantees.

- There is an additional \$2000 in the year three, Indirect Costs line related to the increased operational activities in support of a new site planning process and the grants made to others category of expenditures.

Anticipated Revisions to Budgetary and Regranting Considerations

At this time, the categories of expenditure (personnel, outside resources, travel and grants made to others) will remain the same as the originally proposed categories. ASCA anticipates that as the exploratory discussions about potential new site partners with UAA progress, the total budgeted amount in these categories (\$82,000) may need to be adjusted, and/or a reallocation in the categories of travel and grants made to others may occur. This is largely dependent on how the preliminary discussions with current Northern Journeys partners, and how an invitation to a new PSD partner develop. This will inform the location and number of partners to be involved in the new site, and will impact travel and grants made to others.

ASCA has received the first payment of \$840,000 from MACP for the current project, and has awarded the subgrants to the Munartet Partners in Kodiak, including the first grant payments to others (100% Project Year 3 + 30% Project Year 4). It is anticipated that the timeline adjustment of the planning process moving from the proposed Year 3 (Year 5 of the Project) to Year 1 and 2 (Years 3 and 4) may require the following actions for FY19:

- ASCA may need to request earlier payment of some or all of the \$82,000 in the personnel, outside resources, travel, grants made to others and indirect cost from MACP in FY19 in order to make certain the funds are available for a new site planning process in Project Year 1 and 2 rather than Year 3.
- ASCA may need to request an increase in the State Budget Authorization for FY19 through the State of Alaska Office of Management and Budget to receive additional funds from MACP.
- ASCA may need to request an increase in certain expenditure categories for FY19 in order to accommodate outside resources, travel and grants made to others.

ASCA will work internally to clarify these implications and needs in regard to the shift in the project timeline. The goal is that by the turn of the fiscal year, ASCA is prepared to work with State of Alaska partners and the MACP to insure that the agency has the capacity, fiscal and action plan to effectively meet the needs of this timeline revision.

RE: Memo regarding new MACP Planning Site | ASCA as intermediary

Judi Petkau <jpetkau@MACPhil.org>

Tue 5/8/2018 11:43 AM

To: Forbes, Laura M (EED) <laura.forbes@alaska.gov>;

Cc: Noble-Pelant, Andrea L (EED) <andrea.noble@alaska.gov>; Helena "Lena" Jacobs (helena.m.jacobs@gmail.com) <helena.m.jacobs@gmail.com>;
Robyn Hollingshead <RHollingshead@MACPhil.org>; Jeannine Burnette <jburnette@MACPhil.org>;

Dear Laura,

Thank you for this detailed memo of the anticipated changes to the MACP grant and the potential FY 19 adjustments to the activities, budget and payment schedule that may require amendment of the grant agreement.

We will attach this memo to the grant record in Fluxx and as the change develops through the planning process with UAA, we can continue to manage this change, while assessing the timing and need to make any formal amendment to the grant agreement.

I will also include this as an attachment to the UAA "bridging grant" to help illustrate this partnership and anticipated process.

Best, Judi

Judi Petkau

Program Officer, Teachers

Margaret A. Cargill Philanthropies

jpetkau@macphil.org

direct 952.223.8113

6889 Rowland Road, Eden Prairie, MN 55344

From: Forbes, Laura M (EED) [mailto:laura.forbes@alaska.gov]

Sent: Monday, April 30, 2018 6:39 PM

To: Judi Petkau <jpetkau@MACPhil.org>

Cc: Noble-Pelant, Andrea L (EED) <andrea.noble@alaska.gov>; Helena "Lena" Jacobs (helena.m.jacobs@gmail.com) <helena.m.jacobs@gmail.com>

Subject: Memo regarding new MACP Planning Site | ASCA as intermediary

Hi Judi,

As I mentioned last week, attached is a draft of a New Site Planning Process Memorandum that details our proposed process in the Implementation Grant for years 3-5 of the Munartet Project, alongside any updates to that proposal based on our discussions with you and with UAA.

Please let me know if this is appropriate: both in support of the bridge year proposal from UAA, as well as in redesigning this process as relates to ASCA's current grant. I will look forward to hearing if this is the documentation you need from ASCA, or if there is feedback for edits to this draft.

Thank you, and happy Monday!

L.

Laura Forbes

Arts Education Program Director

Alaska State Council on the Arts

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And check us out on our Facebook page!

<https://www.facebook.com/ArtsAlaska>

Margaret A. Cargill Philanthropies

Grant Budget Development and Template Instructions

Budget Development Overview

The budget template should be completed based on the resource needs of your project.

This budget template must be completed and submitted to Margaret A. Cargill Philanthropies ("MACP") to support the grant request from Margaret A. Cargill Foundation or Anne Ray Foundation.

The budget template includes several tabs of information that support the project budget. The project budget summary can only be populated and completed by entering data on the detailed tabs that support the summary.

The detail tabs are for information purposes and are valuable for MACP to gain an understanding of your budget development and planned activities. The detail tabs also provide insight into the project's broader funding sources and resource needs.

Completing the Budget Template

Throughout this template, only complete information in light blue cells. Other amounts are automatically populated and completed based on information provided in other parts of the budget template. All budget amounts must be in U.S. dollars and in whole dollars.

Budget amounts must also be presented in the natural expense category that aligns with the resource need. For example, use of outside resources for a particular activity should be reported as "Consultants" and should not be included with the activity description in the "Other Expense" line.

Provide itemized detail for costs that are material to the project. The detailed instructions for each category of costs provide additional guidance for reporting budget amounts, including direction on certain items that require itemization based on dollar amount. Costs that are not material to the project can be aggregated provided they are still reported using natural budget categories.

If your grant term is shorter than 3 years, only complete the information for the number of years you are proposing. For any year of funding, do not include information for a period longer than 12 months. Questions on how to report other costs should be directed to your primary contact at MACP.

The following instructions provide additional direction for completion of each tab in the budget template. The section names (e.g. "I. Project Budget Summary", "II. Funding Sources", etc.) can be used to navigate directly to each tab by clicking on the section name.

I. Project Budget Summary

(CLICK TITLE TO NAVIGATE TO TAB)

Summarizes key financial aspects of the proposed project (including funding sources and resource needs by natural expense categories).

Enter your organization's legal name (this should be the same as the legal name used in the application).

Enter the proposed program or project's title (this should be the same as the project title used in the application).

Enter the proposed grant period (this should be the same as the grant term identified in the application).

Enter the start and end date of each fiscal period in the appropriate year (for each year or partial year of the grant term).

After completing all applicable detail tabs, review the project summary tab to ensure that all information is flowing correctly and that the total resource needs and the MACP project budget are in agreement with the detail provided.

II. Funding Sources

(CLICK TITLE TO NAVIGATE TO TAB)

Provide all planned and secured funding support for your proposed project by the following categories: grant support, organizational support and other.

Grant Support: Include as grant support the amount of MACP support being requested (including any amounts requested from Margaret A. Cargill Foundation or Anne Ray Foundation). This amount should also be reported as secured for purposes of the budget. Only include an amount in the "MACP-Other" line if instructed to do so by your contact at MACP.

Restricted support also includes funding from other private and public sources, including: foundations, corporations or individual donors who have restricted their funds to support this project. Public support is generally government grants or grants from public charities. Private support is generally all other restricted grant support.

Organizational Support: Organizational support is support your organization is providing toward the project. This may include earned income, program service fees and revenue, membership or admission fee revenue and any unrestricted support provided by the organization (whether already received or to be raised).

Other Funder Sources: Other Funding Sources include any support for the project that does not fall into one of the above categories (e.g. donated goods). Provide a brief description of each source of other funding.

Enter the budgeted amount for each funding source and **enter** the amount of budgeted funding that is also secured.

Enter the type of funding for restricted grants as well as names of major funders. Grants from other donors may be aggregated and reported in total as grant support from "Other Funders." Report the source of funds as "Anonymous" if the donor has placed restrictions on your ability to disclose the identity of the donor.

Note that "type of funding" is required each funding source in order for the support to populate on the Project Budget Summary.

Enter a description of the sources of other funding (other than restricted grant support) in the appropriate categories.

III. Personnel

(CLICK TITLE TO NAVIGATE TO TAB)

Provide information about key staff or positions that are providing services that are directly attributable to the achievement of the outcomes of the project.

The personnel detail calculates annual personnel costs based on salary, benefits and budgeted annual increases. Personnel costs are calculated for a full 12 month period. In some cases, the budget period may be for a period of less than 12 months. In these cases, reduce the percentage for personnel costs to represent the portion of the year that is included in the budget period.

For example, if the budget period is 6 months (January 1 through June 30) and an individual is budgeted to devote 50% of time directly to this project, the percentage of personnel costs for this project in that 6 month budget period should be 25%. This is based on 50% of staff time multiplied by 50% (6 months/12 months).

Enter each key staff position by title or name or describe the group of persons included on a single line.

Multiple staff positions that for similar titles, roles, or responsibilities may be aggregated into a single line provided that it is possible to aggregate salaries, benefit rates and annual increases. If multiple positions are aggregated, provide information regarding number of persons or other relevant information in the description.

Enter the annual salary, benefits percentage (calculated based on total cost of employee benefits as a percent of annual salary), and budgeted annual salary increase for each position).

Enter the corresponding percentage of time the individual(s) will spend on this project and the corresponding percentage of time for which you are requesting MACP funding.

IV. Outside Resources

(CLICK TITLE TO NAVIGATE TO TAB)

Include costs for consultants, contractors, vendors, and other persons who will provide professional services in support of this project. At a minimum, itemize all annual consulting and other fees that are \$50,000 or more.

Enter the name of consultant, firm, vendor or other third party (if known) for each itemized expense. If the name is not known and for costs that are not itemized, **enter** a description of the type of services to be provided.

Enter the percentage for funding support proposed for MACP funding or enter the allocated dollar amount, whichever is preferred.

V. Travel, Conferences, Meals, and Meetings

(CLICK TITLE TO NAVIGATE TO TAB)

Costs associated with travel, conferences, meals and/or meetings planned for this project should be grouped to show the total cost of the event (e.g. travel and meal costs to attend a convening should be grouped with the name or description of the convening).

Include details that provide insight into the development of the budget item. This may include airfare per person for round-trip travel, hotel cost per night with number of nights, number of individuals attending a convening at per person cost estimates, etc.

Travel costs include expenses such as airfare, lodging, other travel accommodations, local transportation and other travel costs that are directly attributable to the project.

Conference costs include registration fees and other costs required to attend a conference. **Meeting** costs, on the other hand, should include costs incurred to host a conference or to host other meetings that are directly attributable to this project. Meeting costs may include costs to rent venue/facilities.

Meal costs should be reported if the meals are expected to be needed as part of the project. Meal costs should reflect estimated actual out of pocket costs for meals. Meal costs also include the cost for food or refreshments that are needed for hosted meetings (see meeting discussion below).

Enter the description of the type of activity that requires travel, conference, meals and/or meeting expenses.

Enter the percentage for funding support proposed for MACP funding or enter the allocated dollar amount, whichever is preferred.

VI. Materials and Supplies, and Capital and Capital Equipment

(CLICK TITLE TO NAVIGATE TO TAB)

Include the costs of all assets that will be purchased for this project. **Materials and supplies** to be reported on this tab are items purchased for this project that have a useful life that is equal to or shorter than the term of the grant.

Capital and equipment costs to be reported on this tab are assets purchased for this project that have a useful life longer than the term of this grant.

Only include costs for direct project expenses (e.g. office supplies, printing, publications and other materials used directly for the project). Direct costs may include computers, peripheral computer accessories and other small office equipment to be used directly in support of the project.

Enter detail for all planned purchases. At a minimum, itemize the costs for equipment or other purchases that are \$25,000 or more.

Enter the percentage for funding support proposed for MACP funding or enter the allocated dollar amount, whichever is preferred.

VII. Subgrants and Other Costs

(CLICK TITLE TO NAVIGATE TO TAB)

Include on this tab any planned sub-grants and other costs that are directly associated with this project.

Subgrants include all planned grants to organizations other than the applicant and may include grants to one or more organizations related to the applicant.

Enter the total amount of subgranting budgeted for this project.

Enter the percentage for funding support proposed for MACP funding or enter the allocated dollar amount, whichever is preferred.

Other costs include any costs directly attributed to the project that do not fall under any of the above categories. Other costs should not include any costs that are properly included in one of the existing natural budget categories. If other costs are reported, include them in a natural expense category and do not include them based on activity name.

In general, most costs should be captured in one of the expense categories noted in Sections I through VI. If direct costs do not fall within any of the budget categories, the "Other Costs" category should be used.

Enter a description of each other cost that identifies that budget category for that cost.

Enter the percentage for funding support proposed for MACP funding or enter the allocated dollar amount, whichever is preferred.

VIII. Indirect Costs

(CLICK TITLE TO NAVIGATE TO TAB)

Refer to the MACP Indirect Cost Policy available as a resource to grantees. Indirect costs are administrative and other costs which are not directly allocable to a particular activity or project. These costs are not easily identified with a particular project but rather are often shared among projects and/or functions. Basic examples include: executive oversight, existing facilities costs, accounting, grants management, legal expenses, utilities, and technology support. The request for indirect costs should reflect the administrative and other costs needed to support this project.

Enter the indirect costs that are attributable to the project.

PROJECT BUDGET SUMMARY

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in other tabs included in this file.
Additional information that would help explain the budget should be provided in the Budget Narrative with the grant request.
Click [here](#) to see additional instructions for this tab.

Organization Legal Name:	Alaska State Council on the Arts
Project Title (as stated in application):	Munartet Project
Grant Period (start date/end date as stated in application):	2/1/2018 - 12/31/2020
Request Identification Number (as stated in Fluxa):	R-4192

	Total Project Funding and Resource Needs (provided for informational purposes)			MACP Funding and Use of Funds		Year 1 02/01/2018-12/31/2018				Year 2 01/01/2018-12/31/2019				Year 3 01/01/2019-12/31/2020			
	Total Budget	% of Total	Total Secured	Project Budget (MACP)	% of Total	Total Budget	% of Total	Amount Secured	Project Budget (MACP)	Total Budget	% of Total	Amount Secured	Project Budget (MACP)	Total Budget	% of Total	Amount Secured	Project Budget (MACP)
INCOME (Source of Funds):																	
Margaret A. Cargill Philanthropies	\$1,990,000	100%	\$0	\$1,990,000		\$715,500	100%	\$0	\$715,500	\$635,500	100%	\$0	\$635,500	\$639,000	100%	\$0	\$639,000
Government Grants	\$0	0%	\$0			\$0	0%	\$0		\$0	0%	\$0		\$0	0%	\$0	
Other Restricted Funds	\$0	0%	\$0			\$0	0%	\$0		\$0	0%	\$0		\$0	0%	\$0	
Earned Income / Program Services	\$0	0%	\$0			\$0	0%	\$0		\$0	0%	\$0		\$0	0%	\$0	
Unrestricted Funds	\$0	0%	\$0			\$0	0%	\$0		\$0	0%	\$0		\$0	0%	\$0	
Other	\$0	0%	\$0			\$0	0%	\$0		\$0	0%	\$0		\$0	0%	\$0	
TOTAL EXPECTED INCOME:	\$1,990,000		\$0	\$1,990,000		\$715,500		\$0	\$715,500	\$635,500		\$0	\$635,500	\$639,000		\$0	\$639,000
EXPENSES (Use of Funds):																	
Personnel	\$50,000	3%		\$50,000	3%	\$15,000	2%		\$15,000	\$15,000	2%		\$15,000	\$20,000	3%		\$20,000
Outside Resources	\$274,000	14%		\$274,000	14%	\$121,000	18%		\$121,000	\$82,000	13%		\$82,000	\$71,000	12%		\$71,000
Travel, Conferences, Meetings and Meals	\$43,500	2%		\$43,500	2%	\$17,000	2%		\$17,000	\$12,000	2%		\$12,000	\$14,500	2%		\$14,500
Materials and Supplies	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
Capital and Capital Equipment	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
Subgrant	\$1,547,000	81%		\$1,547,000	81%	\$538,000	78%		\$538,000	\$500,000	82%		\$500,000	\$509,000	83%		\$509,000
Other (detail provided below)																	
	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
	\$0	0%		\$0	0%	\$0	0%		\$0	\$0	0%		\$0	\$0	0%		\$0
DIRECT EXPENSES:	\$1,914,500			\$1,914,500		\$691,000			\$691,000	\$609,000			\$609,000	\$614,500			\$614,500
Indirect Costs	\$75,500			\$75,500		\$24,500			\$24,500	\$26,500			\$26,500	\$24,500			\$24,500
TOTAL PROPOSED EXPENSES:	\$1,990,000			\$1,990,000		\$715,500			\$715,500	\$635,500			\$635,500	\$639,000			\$639,000
DIFFERENCE: (Income less Total Expense)	\$0			\$0		\$0			\$0	\$0			\$0	\$0			\$0

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells. Click [here](#) to see additional instructions for this tab.

Restricted support for this project.		Year 1		Year 2		Year 3		Grant Support	
		02/01/2018-12/31/2018		01/01/2018-12/31/2019		01/01/2019-12/31/2020			
Type of Funding	Funding Source (provide names of major funders within an identified source of grant support)	Budgeted	Amount Secured	Budgeted	Amount Secured	Budgeted	Amount Secured	Budgeted	Amount Secured
MACP	Margaret A. Cargill Philanthropies	\$715,500	\$0	\$635,500	\$0	\$639,000	\$0	\$1,990,000	\$0
MACP - Other	MACP - Other (use only if instructed to do so)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	SUBTOTAL:	\$715,500	\$0	\$635,500	\$0	\$639,000	\$0	\$1,990,000	\$0

[illegible]

Other support for this project. Provide information as directed.		Year 1		Year 2		Year 3		Other Funding Sources	
		02/01/2018-12/31/2018		01/01/2018-12/31/2019		01/01/2019-12/31/2020			
Type of Funding	Description of other funding source(s)	Budgeted	Amount Secured	Budgeted	Amount Secured	Budgeted	Amount Secured	Budgeted	Amount Secured
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	SUBTOTAL:	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

12/6/2018

Total	\$715,500	\$0	\$635,500	\$0	\$639,000	\$0	\$1,990,000	\$0
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PERSONNEL DETAIL

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells.
Note that additional rows are available to add more persons or positions to the budget. Rows 20-35 can be unhidden to provide for additional positions.
Click [here](#) to see additional instructions for this tab.

Provide information about key staff or positions. When applicable, identify whether key staff positions are permanent or temporary. Other positions that are not key positions can be added by referring to departments, teams or as "other staff."					Year 1				Year 2				Year 3				TOTAL		
					02/01/2018-12/31/2018				01/01/2018-12/31/2019				01/01/2019-12/31/2020						
					Key Position(s)	Annual Salary	Benefits % of annual salary	Total Comp	Budgeted % annual increase	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount
Arts Education Program Director (full	\$69,675	59%	\$110,505		10%	\$10,498	10%	\$10,498	15%	\$16,576	15%	\$16,576	10%	\$11,050	10%	\$11,050	\$38,124	100%	\$38,124
Administrative Assistant II (full time	\$47,544	70%	\$80,730		3%	\$2,018	3%	\$2,018	3%	\$2,018	3%	\$2,018	3%	\$2,018	3%	\$2,018	\$6,054	100%	\$6,054
Executive Director (full time	\$94,350	54%	\$145,582		2%	\$2,912	2%	\$2,912	2%	\$2,912	2%	\$2,912	2%	\$2,912	2%	\$2,912	\$8,736	100%	\$8,736
			\$0			\$0		\$0		\$0		\$0		\$0		\$0	\$0		\$0
			\$0			\$0		\$0		\$0		\$0		\$0		\$0	\$0		\$0
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			\$0			\$0		\$0		\$0		\$0		\$0		\$0	\$0		\$0
			\$0			\$0		\$0		\$0		\$0		\$0		\$0	\$0		\$0
			\$0			\$0		\$0		\$0		\$							

OUTSIDE RESOURCES

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells.

Note that a percentage may be included in the project budget column in order to automatically calculate the MACP budget amount. Alternatively, the MACP budget amount may be entered directly as whole dollars.

Note also that additional rows are available to add more persons or positions to the budget. Rows 20-30 can be unhidden to provide for additional positions.

Click [here](#) to see additional instructions for this tab.

Outside resources include contractors, consultants, vendors and other third parties that will provide professional services in support of this project. List significant consultants by name or type of services to be performed.	Year 1			Year 2			Year 3			TOTAL		
	02/01/2018-12/31/2018			01/01/2018-12/31/2019			01/01/2019-12/31/2020					
	Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)	
		%	Amount		%	Amount		%	Amount		%	Amount
Project Manager (Benozaadleyo Consulting--Lena Jacobs)	\$66,000		\$66,000	\$66,000		\$66,000	\$66,000		\$66,000	\$198,000	100%	\$198,000
Collective Approaches to Arts Education-Statewide (CES, Inc.-Aimee	\$10,000		\$10,000	\$10,000		\$10,000			\$0	\$20,000	100%	\$20,000
Web Design/Build/Maintenance	\$10,000		\$10,000	\$6,000		\$6,000	\$5,000		\$5,000	\$21,000	100%	\$21,000
Planning Consultant/Facilitator for New Site	\$35,000		\$35,000			\$0				\$35,000	100%	\$35,000
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
Outside Resources - Detail Total	\$121,000	100%	\$121,000	\$82,000	100%	\$82,000	\$71,000	100%	\$71,000	\$274,000	100%	\$274,000

TRAVEL, MEALS, CONFERENCES AND MEETINGS

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells.
Note that a percentage may be included in the project budget column in order to automatically calculate the MACP budget amount. Alternatively, the MACP budget amount may be entered directly as whole dollars.
Note also that additional rows are available to add more persons or positions to the budget. Rows 20-30 can be unhidden to provide for additional positions.
Click [here](#) to see additional instructions for this tab.

List planned costs for travel, meals, conferences and other meetings. Provide detail for significant costs.	Year 1			Year 2			Year 3			TOTAL		
	02/01/2018-12/31/2018			01/01/2018-12/31/2019			01/01/2019-12/31/2020					
	Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)	
		%	Amount		%	Amount		%	Amount		%	Amount
Project Manager Travel	\$8,000		\$8,000	\$8,000		\$8,000	\$8,000		\$8,000	\$24,000	100%	\$24,000
Staff Travel (to ADQ)	\$1,500		\$1,500	\$1,500		\$1,500	\$1,500		\$1,500	\$4,500	100%	\$4,500
Travel in support of ASCACon/Statewide work	\$5,000		\$5,000			\$0	\$5,000		\$5,000	\$10,000	100%	\$10,000
Travel in support of new site planning	\$2,500		\$2,500	\$2,500		\$2,500				\$5,000	100%	\$5,000
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
			\$0			\$0			\$0	\$0		\$0
Travel, Conferences, Meetings and Meals - Detail Total	\$17,000	100%	\$17,000	\$12,000	100%	\$12,000	\$14,500	100%	\$14,500	\$43,500	100%	\$43,500

SUPPLIES, MATERIALS, EQUIPMENT AND CAPITAL

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells.

Note that a percentage may be included in the project budget column in order to automatically calculate the MACP budget amount. Alternatively, the MACP budget amount may be entered directly as whole dollars.

Click [here](#) to see additional instructions for this tab.

Materials and Supplies (used within the term of the grant)

List materials and supplies costs planned for this project. Materials and supplies should have a useful life that is equal to or shorter than the term of the grant.	Year 1			Year 2			Year 3			TOTAL		
	02/01/2018-12/31/2018			01/01/2018-12/31/2019			01/01/2019-12/31/2020					
	Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)	
		%	Amount		%	Amount		%	Amount		%	Amount
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
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			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
Materials and Supplies - Detail Totals	\$0		\$0	\$0		\$0	\$0		\$0	\$0		\$0

Capital and Capital Equipment (useful beyond term of grant)

List capital and equipment costs. Capital and equipment costs should be to purchase assets that have a useful life longer than the term of this grant.	Year 1			Year 2			Year 3			TOTAL		
	02/01/2018-12/31/2018			01/01/2018-12/31/2019			01/01/2019-12/31/2020					
	Total Budget	MACP		Total Budget	MACP		Total Budget	MACP		Total Budget	MACP Project Budget	
		%	Amount		%	Amount		%	Amount		%	Amount
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
			\$0			\$0			\$0	-		-
Capital and Capital Equipment - Detail Totals	\$0		\$0	\$0		\$0	\$0		\$0	\$0		\$0

SUBGRANTS AND OTHER DIRECT COSTS

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells.

Note that a percentage may be included in the project budget column in order to automatically calculate the MACP budget amount. Alternatively, the MACP budget amount may be entered directly as whole dollars.

Click [here](#) to see additional instructions for this tab.

Subgrants

	Year 1				Year 2				Year 3							
Subgrants to others include all planned grants to organizations other than the grantee (including grants to organizations related to the grantee)	02/01/2018-12/31/2018				01/01/2018-12/31/2019				01/01/2019-12/31/2020				TOTAL			
	Total Budget		Project Budget (MACP)		Total Budget		Project Budget (MACP)		Total Budget		Project Budget (MACP)		Total Budget		Project Budget (MACP)	
			%	Amount			%	Amount			%	Amount			%	Amount
	Subgrants to Others	\$538,000			\$538,000	\$500,000			\$500,000	\$509,000			\$509,000	\$1,547,000	100%	

Other Direct Expenses

	Year 1			Year 2			Year 3					
Other allowable direct expenses should be those expenses that cannot otherwise be reported in one of the natural budget categories already provided	02/01/2018-12/31/2018			01/01/2018-12/31/2019			01/01/2019-12/31/2020			TOTAL		
	Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)	
		%	Amount		%	Amount		%	Amount		Amount	%
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
			\$0			\$0			\$0			\$0
Other Expense Total	\$0		\$0	\$0		\$0	\$0		\$0	\$0		\$0

INDIRECT COSTS

INSTRUCTIONS: Only complete information in light blue highlighted cells. All other information is automatically completed based on information provided in those cells.
Note that a percentage may be included in the project budget column in order to automatically calculate the MACP budget amount. Alternatively, the MACP budget amount may be entered directly as whole dollars.
Click [here](#) to see additional instructions for this tab.

Estimate the amount of indirect costs required to support this project.	Year 1			Year 2			Year 3			TOTAL		
	02/01/2018-12/31/2018			01/01/2018-12/31/2019			01/01/2019-12/31/2020					
	Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)		Total Budget	Project Budget (MACP)	
		%	Amount		%	Amount		%	Amount		%	Amount
Indirect costs	\$24,500		\$24,500	\$26,500		\$26,500	\$24,500		\$24,500	\$75,500	100%	\$75,500

**Department of Environmental Conservation
Administration
Administrative Services**

Subject of RPL: One-Time Furniture Costs Associated with 410 Willoughby Lease Remodel	ADN/RPL #: 18-9-0374
Amount requested: \$ 853,756	Appropriation Authority: Sec 1 Ch 17 SLA 2018 Pg 13 Ln 9
Funding source: \$ 853,756 (1002 Federal Receipts) Operating	Statutory Authority: N/A

PURPOSE

The Department of Environmental Conservation (DEC) submits a federal indirect cost rate proposal to the Environmental Protection Agency (EPA) for approval each year. The proposal allows the Department to collect federal revenue to pay for indirect overhead costs. Over the course of the past several years, the Department chose to preserve a portion of its federal indirect revenue to cover the one-time costs of cubicle furniture anticipated as part of a new lease for its Juneau office. In May 2018, the Department awarded a lease contract that resulted in \$270,000 per year of annual savings as the result of a smaller and denser floorplan and a lower per-square-foot lease rate. The denser floorplan requires new cubicle furniture to achieve the smaller footprint once renovations are complete. The Department must also bear some minor one-time costs as part of the renovation process.

PREVIOUS LEGISLATIVE CONSIDERATION

There are no prior legislative considerations for this project.

TIMING ISSUES

The Department was unable to precisely determine the furniture needs for the new reduced space until the lease contract was awarded in May 2018. Renovations began in September 2018 and are expected to be fully complete by mid-January 2019, with new furniture delivered and installed in two phases.


The Department has language in the operating budget that allows the Administrative Services component to carry forward unspent federal indirect receipts. This is revenue that has already been collected and does not lapse. These funds may only be used for departmental overhead costs.

BUDGETARY ISSUES

This request will fund one-time capital costs associated with downsizing the lease. The annual lease savings for the Department will be approximately \$270,000. The Department has already taken general fund reductions in the budget for the anticipated lease savings.

Legislative Fiscal Analyst Comment: There are no technical issues with this RPL.

1			Appropriation	General	Other
2		Allocations	Items	Funds	Funds
3		* * * * *	* * * * *		
4		* * * * * Department of Environmental Conservation * * * * *			
5		* * * * *	* * * * *		
6	Administration		10,737,900	4,885,300	5,852,600
7	Office of the Commissioner	1,022,200			
8	Administrative Services	6,437,100			
9	The amount allocated for Administrative Services includes the unexpended and unobligated				
10	balance on June 30, 2018, of receipts from all prior fiscal years collected under the				
11	Department of Environmental Conservation's federal approved indirect cost allocation plan				
12	for expenditures incurred by the Department of Environmental Conservation.				
13	State Support Services	3,278,600			
14	DEC Buildings Maintenance and		645,900	645,900	
15	Operations				
16	DEC Buildings Maintenance	645,900			
17	and Operations				
18	Environmental Health		17,150,500	9,853,200	7,297,300
19	Environmental Health	13,708,100			
20	Laboratory Services	3,442,400			
21	Air Quality		10,436,500	3,974,000	6,462,500
22	Air Quality	10,436,500			
23	The amount allocated for Air Quality includes the unexpended and unobligated balance on				
24	June 30, 2018, of the Department of Environmental Conservation, Division of Air Quality				
25	general fund program receipts from fees collected under AS 46.14.240 and AS 46.14.250.				
26	Spill Prevention and Response		19,747,600	13,825,500	5,922,100
27	Spill Prevention and	19,747,600			
28	Response				
29	Water		22,566,600	7,142,000	15,424,600
30	Water Quality	22,566,600			
31	Infrastructure Support &				
32	Financing				
33		* * * * *	* * * * *		

PURCHASE ORDER		STATE OF ALASKA Department of Environmental Conservation Division of Administrative Services 410 Willoughby Ave Suite 303 Juneau, AK 99801		PURCHASE ORDER NUMBER PO 18-001-18		
S H I P T O DEC - JUNEAU 410 WILLOUGHBY AVE SUITE 303 JUNEAU, AK 99801		DATE DELIVERY REQ. AT DESTINATION 8-10 weeks ARO per quote #57922		DATE OF ORDER 5/1/2018		
		F.O.B. POINT FINAL DESTINATION		PR # / DATE ASSIGNED		
		<p>This PO is subject to NASPO ValuePoint Contract #MA147, State of Alaska Contract #W-2012-WOF-002</p> <p>In accordance with: Capital Office quote #57922 dated 4/23/2018</p>				
CONTRACTOR: CAPITAL OFFICE ADDRESS: 124 SEWARD STREET JUNEAU, AK 99801 CONTACT NAME: Tanya Kandzer 907-777-1522 direct tkandzer@capital-office.com CONTRACTOR NUMBER: 907-586-1700 FAX: 907-586-1720		VENDOR CODE: COS89151		FED. TAX ID #:		
		SHIPPING INSTRUCTIONS: All shipping and installation must be coordinated and scheduled with DEC. Please contact Jeff Rogers for more information. jeff.rogers@alaska.gov 907-465-5235				
SEND INVOICE IN DUPLICATE TO: <input checked="" type="checkbox"/> "SHIP TO" Address OR <input type="checkbox"/> As Specified in Description						
NOTE: This order constitutes a binding commitment between the State and the contractor listed hereon. Unauthorized modification without the expressed prior approval of the contracting authority will result in a financial obligation on the contractor and/or unauthorized State personnel making the change.						
Item No.	Commodity Code	Quantity Ordered	Unit of Measure	Description	Unit Price	Extended Price
1	425	1	Lot	Total Product Sell <i>See attached 57-page Capital Office quote #57922 dated 4/23/18 for details</i>	-	\$700,950.78
2	91065	1	Lot	Installation <i>To be scheduled with DEC.</i> <i>See attached Capital Office quote #57922 dated 4/23/18 for details</i>	-	\$110,259.55
3	96286	1	Lot	Freight <i>See attached Capital Office quote #57922 dated 4/23/18 for details</i>	-	\$39,500.00
4	91065	1	Lot	Design <i>See attached Capital Office quote #57922 dated 4/23/18 for details</i>	-	\$3,045.20
Total \$ 853,755.53						
CONTRACTING AUTHORITY NAME Jeff Rogers			TITLE Director, Div. of Admin Services		SIGNATURE 	
ENCUMBRANCE REFERENCE NUMBER:					PAGE 1 OF 1	
IMPORTANT: 1. Order number and received department name must appear on all invoices and documents relating to this order. 2. Do not over-ship or substitute. 3. Receipted freight bills must accompany claims for freight charges. 4. The State is registered for tax free transactions under Chapter 32, IRS Code, Registration No. 92-6001185. Items are for the exclusive use of the State and not for resale.						

Department of Military & Veterans Affairs
Military & Veterans Affairs
Homeland Security & Emergency Management

Subject of RPL: FY2019 Homeland Security & Emergency Management Authority Increase	ADN/RPL #: 09-9-0113
Amount requested: \$100,000.00	Appropriation Authority: Sec 1 Ch 17 SLA 2018 Pg 26 Ln 17
Funding source: \$100,000.00 (1108 Statutory Designated Program Receipts) - Operating	Statutory Authority: AS 26.23; AS 26.23.135

PURPOSE

The Department of Military & Veterans Affairs (DMVA) Homeland Security and Emergency Management (HSEM) requests authority to receive and expend \$100,000.00 in statutory designated program receipt funding for participation in the Emergency Management Assistance Compact (EMAC) disaster response and recovery activities in accordance with AS 26.23.135.

The EMAC was enacted into law and entered into with all state jurisdictions within the United States joining to perform emergency and disaster activities. This mutual aid agreement facilitates inter-state assistance in declared disasters and emergencies and provides for cost recovery from the affected state. Participation in the compact benefits Alaska by providing immediate access to additional trained and experienced emergency specialists and other emergency resources nationwide during a disaster. Additionally, it provides a mechanism for outside states to request the State of Alaska's assistance in managing an emergency or disaster event declared by the governor of the affected state when events dramatically overwhelm their emergency management capabilities.

PREVIOUS LEGISLATIVE CONSIDERATION

On November 9, 2017, the Legislative Budget and Audit Committee approved a RPL increasing SDPR authority within DMVA's State Active Duty component by \$1,000,000.00 for an Alaska National Guard Disaster Relief Mission to the U.S. Virgin Islands. Previous activity under EMAC was covered under existing SDPR authority in the State Active Duty and Homeland Security and Emergency Management components.

TIMING ISSUES

On November 14, 2018, HSEM received an EMAC request from the State of California for assistance in the administration and implementation of the Federal Emergency Management's Agency's (FEMA) Individual Assistance Program. California requested the assistance of two HSEM employees with a mission start date of November 16, 2018 and a projected end date of December 15, 2018. Due to this timing, DMVA cannot wait until legislative session begins to request additional SDPR authority to ensure employees called to duty can be compensated for their service.

BUDGETARY ISSUES

- Current total SDPR authority in the Component is \$200,000.00; a \$100,000.00 original authorization and a \$100,000.00 transfer of authority from DMVA's State Active Duty component, all needed for other normal FY2019 expenditures. Encumbrances and expenditures to date are approximately \$143,000.00.
- The estimated total cost for the current California mission as outlined in the EMAC request is \$47,956.00 (\$33,780.00 in personal services and \$14,176.00 in travel).

Agency Contact: Brian Duffy (907) 428-7210
LFD Contact: Rob Carpenter (907) 465-5413

- While this leaves an additional \$57,000.00 in SDPR available, the accelerated burn rate this early in the SFY is atypical. Approval of another \$100,000 increment for the HSEM Component provides DMVA flexibility necessary to react quickly to additional emerging crises and eliminates the need to return to the Legislature for additional authority.
- If not approved, DMVA will most likely exhaust available SDPR, either rendering the Department unable to respond or requiring similar short-notice requests to the Legislature for additional receipt authority. Finally, acceptance of this funding does not obligate the State to expend general funds now or in future years.

Legislative Fiscal Analyst Comment: Upon request, the agency clarified the immediate need for this RPL totals just under \$50,000. The additional authority requested, however, would allow for agency flexibility in responding to other requests for assistance without necessarily returning to the committee.

Assisting State:	AK	State TN #:	AK-1526-RR-8500
Assisting Agency:	Alaska Division of Homeland Security and Emergency Management	State EM TN #:	AK-1526-RR-8500

Offer Description

Mission Start Date:	11/16/2018	Arrival Date:	11/16/2018
Departure Date:	12/15/2018	Mission End Date:	12/15/2018
# Mission Days:	30		
Mission Type	State	Type / Status	Human Services
Mission Description	20 Individual Assistance Subject Matter Experts		
Resource Description	<p>Cal OES' Individual Assistance (IA) Section is requesting twenty (20) staff knowledgeable in the administration and implementation of the Federal Emergency Management Agency's (FEMA) Individual Assistance Program. On November 12, 2018, President Trump issued a major disaster declaration for the State of California, triggering the release of Federal funds to help residents in Butte, Ventura, and Los Angeles counties from the devastating effects of fires that began November 8, 2018, and continuing.</p> <p>John Ramsey has over 10 years extensive experience in PA, IA and Volunteer agency Liaison. His experience includes all the areas of Individual and Households Program (IHP) implementation, including Mass Care and Shelter, Unemployment, Crisis Counseling, Legal Services, Disaster Case Management, Other Needs Assistance, Disaster Recovery Centers, Voluntary Agency Coordination, and Long-Term Recovery efforts. He has been a member of 12+ State Disaster Application Center Teams. He has work at least 5 FEMA level disasters in a JFO. He has worked on numerous Red Cross Disasters. He is well versed with working with applicants from start to finish, including PWs, the PA Portal, Emmie and MS Office Products.</p> <p>Mark Winkelseth is currently one of three Branch Chiefs within the Disaster Assistance Section of the Alaska Division on Homeland Security and Emergency Management. Including Mark's time in the military, he has over 10 years' experience working in the emergency management profession, including project management, conducting site visits / surveys, delivering training, and has used FEMA's new Delivery Model and Grants Portal. I am well versed in working with applicants from filling out applications, to eligibility requirements, as well as case management, MS Office Products, and closeouts of disasters. He currently supervises 3 Emergency Specialist II's and manages 2 Federal and 5 State disasters encompassing over 50,000 acres. Mark has been on multiple deployments including very remote and urban throughout the state of Alaska.</p> <p>More specifically, Cal OES' IA Section is requesting twenty (20) experienced staff as IA lead/branch director and other duties as needed in Northern CA. Activities will include: overall coordination to support the Individual and Households Program (IHP) implementation, including Mass Care and Shelter, Unemployment, Crisis Counseling, Legal Services, Disaster Case Management, Other Needs Assistance, Disaster Recovery Centers, Voluntary Agency Coordination, and Long-Term Recovery efforts.</p> <p>Staff will originally report to Cal OES' headquarters on Friday, November 16, 2018. Travel day is Thursday, November 15, 2018, and will be redirected to a Disaster Recovery Center (DRC) and/or Local Assistance Center (LAC) in the impacted areas (locations to be determined).</p>		
NIMS Type:			
# Requested:	20	# Type:	Personnel

In-State Resource Point of Contact

First Name:	Christine	Last Name	Stroda
Phone 1:	907-428-7061	Phone 2:	
Email 1:	christine.stroda@alaska.gov	Email 2:	

Assisting State REQ-A Contact

First Name:	Christine	Last Name	Stroda
Phone 1:	907-428-7061	Phone 2:	
Email 1:	christine.stroda@alaska.gov	Email 2:	

Total Mission Estimated Costs

Travel:	\$14,176.00
Personnel:	\$33,780.00
Equipment:	\$0.00
Commodities:	\$0.00
Other:	\$0.00
EST. TOTAL COST:	\$47,956.00

Travel

Personal Vehicle Costs:	\$0.00	Rental Vehicle Costs:	\$2,460.00	Gvt. Vehicle Costs:	\$0.00
Air Travel Costs:	\$3,012.00	Meals & Tips (Receipt):	\$0.00	Meals & Tips (Per Diem):	\$3,894.00
Lodging:	\$4,610.00	Parking Fees:	\$200.00	Shipment & Transportation:	\$0.00
Identify any transportation requirements:					

Personnel Assigned to Mission

Total:	2
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Personnel Costs

ID	Name / Phone / Email	Reg. Salary Hourly Rate	Fringe Benefit Hourly Rate	Reg. Hours Worked Per Day	OT Salary Hourly Rate	OT Fringe Benefit Hourly Rate	OT Hours Worked Per Day	# Days	Total Daily Cost	Total Mission Cost
2375 43	John Ramsey 907-428-7073 john.ramsey@alaska.gov	\$32.80	\$20.71	7.50	\$49.20	\$20.71	4.50	30	\$715.92	\$21,477.60
2375 44	Mark Winkelseth 907-428-7052 mark.winkelseth@alaska.gov	\$30.70	\$20.56	8.00	\$0.00	\$0.00	0.00	30	\$410.08	\$12,302.40

Commodity Costs

ID	Commodity Description	Cost Per Item	Quantity	Total Costs
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Equipment Costs

ID	Equipment Description	Cost Per Item	Qty	Rate Per Day	Qty	# Days Used	Total Cost
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Other Costs

ID	Other Description	Cost Per Item	Qty	Rate Per Day	Qty	# Days Used	Total Cost
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**Department of Public Safety
Statewide Support
Laboratory Services**

Subject of RPL: Increase Federal Authority for the Laboratory Services	ADN/RPL #: 12-9-3040
Amount requested: \$ 300,000 LB&A Committee Revised to: \$163,400	Appropriation Authority: Sec 1 Ch17 SLA 2018 pg 31 ln 9
Funding source: Federal Receipts (1002) Operating	Statutory Authority: AS 44.41.020, AS 44.41.025, AS 44.41.035, AS 18.65.050, AS 18.65.090 and 13AAC 63

PURPOSE

The Department of Public Safety (DPS), Laboratory Services applied for the annual Paul Coverdell Forensic Sciences Improvement Grant Program (Coverdell) from the National Institute of Justice (NIJ). In FFY2018 the federal formula grant award to Alaska has been increased from \$115.0 to \$272.0. This program is intended to improve the quality and timeliness of forensic science or medical examiner/coroner services, to eliminate a backlog in the analysis of forensic science evidence, and to train, assist and employ forensic laboratory personnel as needed to eliminate such a backlog.

In addition to the recent increase from the Coverdell grant, the component also received the DNA Capacity Enhancement and Backlog Reduction Program (Formula) grant in the amount of \$371.0. Laboratory Services only has \$414.5 in federal receipt authority and with these grant increases, the component is requesting an increase of \$300.0. This will enable the component to continue coordinating, administering and monitoring funds to help improve current operations in the quality and/or timeliness of forensic science or medical examiner/coroner services provided in the State.

PREVIOUS LEGISLATIVE CONSIDERATION

The Department of Public Safety, Laboratory Services has not requested additional federal receipt authority to be utilized to administer federal funds to this program.

TIMING ISSUES

The component lacks federal receipt authority in the FY2019 budget commensurate with the increase Coverdell grant “base” (formula) award and the additional DNA grant. In order to ensure that the project begins promptly and to allow Laboratory Services to continue coordinating, administering and monitoring funds to help improve current operations in the quality and/or timeliness of forensic science or medical examiner/coroner services provided in the State, the Department is requesting this Revised Program Legislative (RPL).

If this RPL is not approved, Laboratory Services will not be able purchase needed equipment, supplies and the federal funds will not be able to be spent prior to the close out of the grants.

BUDGETARY ISSUES

The increased federal receipt authority will allow for the accomplishment of additional grant funds to be provided to program that fits into the Laboratory Services’ mission of providing forensic services to the Alaskan community through scientific analysis, integrity, and training.

No general funds will be used and no match is required for this work. No new positions are required to fulfill the grants objectives. Laboratory Services will continue to monitor their federal grants and if a decrease is noticed, the component will promptly request a decrease in federal receipt authority.

Legislative Fiscal Analyst Comment: The federal receipts requested in this RPL were higher than the amount cited. When asked why, DPS stated that a buffer was requested because, at the time the RPL was written, \$136,570 from an anticipated (not final) grant was included in the funding request but not in the RPL narrative. The Coverdell competitive grant has since been approved. In addition, the amounts of the other two grants have been revised. As of today, the projected need for federal receipts in Laboratory Services is as follows:

DPS/Laboratory Services	
Federal Grant	Totals
DNA Backlog	\$279,219.63
Coverdell (Regular)	\$276,713.82
Coverdell (Competitive)	\$136,570.00
Total Federal Grants	\$692,503.45
Budgeted Federal Receipts	\$414,000.00
RPL Request	\$300,000.00
Post-RPL Federal Authorization	\$714,000.00
"Excess" Authorization (Buffer)	\$21,496.55



U.S. Department of Justice

Office of Justice Programs

Office of the Assistant Attorney General

Washington, D.C. 20531

September 21, 2018

Ms. Kelly Howell
Alaska Department of Public Safety Administrative Services
5700 E. Tudor Road
Anchorage, AK 99507-1225

Dear Ms. Howell:

On behalf of Attorney General Jefferson Sessions III, it is my pleasure to inform you that the Office of Justice Programs has approved your application for funding under the FY18 Paul Coverdell Forensic Science Improvement Grants Program – Formula in the amount of \$271,960 for Alaska Department of Public Safety Administrative Services. This funding is for the project titled, "FY 2018 Paul Coverdell Forensic Science Improvement Grants Program."

Enclosed you will find the Grant Award and Special Conditions documents. This award is subject to all administrative and financial requirements, including the timely submission of all financial and programmatic reports, resolution of all interim audit findings, and the maintenance of a minimum level of cash-on-hand. Should you not adhere to these requirements, you will be in violation of the terms of this agreement and the award will be subject to termination for cause or other administrative action as appropriate.

If you have questions regarding this award, please contact:

- Program Questions, Christine Torres, Grant Manager at (202) 305-1978; and
- Financial Questions, the Office of the Chief Financial Officer, Customer Service Center (CSC) at (800) 458-0786, or you may contact the CSC at ask.ocfo@usdoj.gov.

Congratulations, and we look forward to working with you.

Sincerely,

A handwritten signature in black ink, reading "Matt Dummermuth", is positioned above the printed name.

Matt Dummermuth
Principal Deputy Assistant Attorney General

Enclosures



OFFICE FOR CIVIL RIGHTS

Office of Justice Programs

U.S. Department of Justice

810 7th Street, NW
Washington, DC 20531

Tel: (202) 307-0690

TTY: (202) 307-2027

E-mail: askOCR@usdoj.gov

Website: www.ojp.usdoj.gov/ocr

OCR Letter to All Recipients

September 21, 2018

Ms. Kelly Howell
Alaska Department of Public Safety Administrative Services
5700 E. Tudor Road
Anchorage, AK 99507-1225

Dear Ms. Howell:

Congratulations on your recent award. In establishing financial assistance programs, Congress linked the receipt of federal funding to compliance with federal civil rights laws. The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) is responsible for ensuring that recipients of financial assistance from the OJP, the Office of Community Oriented Policing Services (COPS), and the Office on Violence Against Women (OVW) comply with the applicable federal civil rights laws. We at the OCR are available to help you and your organization meet the civil rights requirements that come with DOJ funding.

Ensuring Access to Federally Assisted Programs

Federal laws that apply to recipients of financial assistance from the DOJ prohibit discrimination on the basis of race, color, national origin, religion, sex, or disability in funded programs or activities, not only in employment but also in the delivery of services or benefits. A federal law also prohibits recipients from discriminating on the basis of age in the delivery of services or benefits.

In March of 2013, President Obama signed the Violence Against Women Reauthorization Act of 2013. The statute amends the Violence Against Women Act of 1994 (VAWA) by including a nondiscrimination grant condition that prohibits discrimination based on actual or perceived race, color, national origin, religion, sex, disability, sexual orientation, or gender identity. The new nondiscrimination grant condition applies to certain programs funded after October 1, 2013. The OCR and the OVW have developed answers to some frequently asked questions about this provision to assist recipients of VAWA funds to understand their obligations. The Frequently Asked Questions are available at <https://ojp.gov/about/ocr/vawafaqs.htm>.

Enforcing Civil Rights Laws

All recipients of federal financial assistance, regardless of the particular funding source, the amount of the grant award, or the number of employees in the workforce, are subject to prohibitions against unlawful discrimination. Accordingly, the OCR investigates recipients that are the subject of discrimination complaints from both individuals and groups. In addition, based on regulatory criteria, the OCR selects a number of recipients each year for compliance reviews, audits that require recipients to submit data showing that they are providing services equitably to all segments of their service population and that their employment practices meet equal opportunity standards.

Providing Services to Limited English Proficiency (LEP) Individuals

In accordance with DOJ guidance pertaining to Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d, recipients of federal financial assistance must take reasonable steps to provide meaningful access to their programs and activities for persons with limited English proficiency (LEP). See U.S. Department of Justice, Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 67 Fed. Reg. 41,455 (2002). For more information on the civil rights responsibilities that recipients have in providing language services to LEP individuals, please see the website <https://www.lep.gov>.

Ensuring Equal Treatment of Faith-Based Organizations and Safeguarding Constitutional Protections Related to Religion

The DOJ regulation, Partnerships with Faith-Based and Other Neighborhood Organizations, 28 C.F.R. pt. 38, updated in April 2016, prohibits all recipient organizations, whether they are law enforcement agencies, governmental agencies, educational institutions, houses of worship, or faith-based organizations, from using financial assistance from the DOJ to fund explicitly religious activities. Explicitly religious activities include worship, religious instruction, or proselytization. While funded organizations may engage in non-funded explicitly religious activities (e.g., prayer), they must hold them separately from the activities funded by the DOJ, and recipients cannot compel beneficiaries to participate in them. The regulation also makes clear that organizations participating in programs funded by the DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion, religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice. Funded faith-based organizations must also provide written notice to beneficiaries, advising them that if they should object to the religious character of the funded faith based organization, the funded faith-based organization will take reasonable steps to refer the beneficiary to an alternative service provider. For more information on the regulation, please see the OCR's website at <https://ojp.gov/about/ocr/partnerships.htm>.

SAAs and faith-based organizations should also note that the Omnibus Crime Control and Safe Streets Act (Safe Streets Act) of 1968, as amended, 34 U.S.C. § 10228(c); the Victims of Crime Act of 1984, as amended, 34 U.S.C. § 20110(e); the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, 34 U.S.C. § 11182(b); and VAWA, as amended, 34 U.S.C. § 12291(b)(13), contain prohibitions against discrimination on the basis of religion in employment. Despite these nondiscrimination provisions, the DOJ has concluded that it may construe the Religious Freedom Restoration Act (RFRA) on a case-by-case basis to permit some faith-based organizations to receive DOJ funds while taking into account religion when hiring staff, even if the statute that authorizes the funding program generally forbids recipients from considering religion in employment decisions. Please consult with the OCR if you have any questions about the regulation or the application of RFRA to the statutes that prohibit discrimination in employment.

Using Arrest and Conviction Records in Making Employment Decisions

The OCR issued an advisory document for recipients on the proper use of arrest and conviction records in making hiring decisions. See Advisory for Recipients of Financial Assistance from the U.S. Department of Justice on the U.S. Equal Employment Opportunity Commission's Enforcement Guidance: *Consideration of Arrest and Conviction Records in Employment Decisions Under Title VII of the Civil Rights Act of 1964 (June 2013)*, available at https://ojp.gov/about/ocr/pdfs/UseofConviction_Advisory.pdf. Recipients should be mindful that the misuse of arrest or conviction records to screen either applicants for employment or employees for retention or promotion may have a disparate impact based on race or national origin, resulting in unlawful employment discrimination. In light of the Advisory, recipients should consult local counsel in reviewing their employment practices. If warranted, recipients should also incorporate an analysis of the use of arrest and conviction records in their Equal Employment Opportunity Plans (EEOPs) (see below).

Complying with the Safe Streets Act

An organization that is a recipient of financial assistance subject to the nondiscrimination provisions of the Safe Streets Act, must meet two obligations: (1) complying with the federal regulation pertaining to the development of an EEOP (see 28 C.F.R. pt. 42, subpt. E) and (2) submitting to the OCR findings of discrimination (see 28 C.F.R. §§ 42.204(c), .205(c)(5)).

Meeting the EEOP Requirement

An EEOP is a comprehensive document that analyzes a recipient's relevant labor market data, as well as the recipient's employment practices, to identify possible barriers to the participation of women and minorities in all levels of a recipient's workforce. As a recipient of DOJ funding, you may be required to submit an EEOP Certification Report or an EEOP Utilization Report to the OCR. For more information on whether your organization is subject to the EEOP requirements, see <https://ojp.gov/about/ocr/eeop.htm>. Additionally, you may request technical assistance from an EEOP specialist at the OCR by telephone at (202) 616-1771 or by e-mail at EEOPforms@usdoj.gov.

Meeting the Requirement to Submit Findings of Discrimination

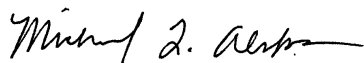
If in the three years prior to the date of the grant award, your organization has received an adverse finding of discrimination based on race, color, national origin, religion, or sex, after a due-process hearing, from a state or federal court or from a state or federal administrative agency, your organization must send a copy of the finding to the OCR.

Ensuring the Compliance of Subrecipients

SAAAs must have standard assurances to notify subrecipients of their civil rights obligations, written procedures to address discrimination complaints filed against subrecipients, methods to monitor subrecipients' compliance with civil rights requirements, and a program to train subrecipients on applicable civil rights laws. In addition, SAAAs must submit to the OCR every three years written Methods of Administration (MOA) that summarize the policies and procedures that they have implemented to ensure the civil rights compliance of subrecipients. For more information on the MOA requirement, see <https://ojp.gov/funding/Explore/StateMethodsAdmin-FY2017update.htm>.



If the OCR can assist you in any way in fulfilling your organization's civil rights responsibilities as a recipient of federal financial assistance, please contact us.

Sincerely,



Michael L. Alston
Director

cc: Grant Manager
Financial Analyst

 <p>U.S. Department of Justice Office of Justice Programs National Institute of Justice</p>		Grant		PAGE 1 OF 14																	
1. RECIPIENT NAME AND ADDRESS (Including Zip Code) Alaska Department of Public Safety Administrative Services 5700 E. Tudor Road Anchorage, AK 99507-1225		4. AWARD NUMBER: 2018-CD-BX-0024																			
		5. PROJECT PERIOD: FROM 01/01/2019 TO 12/31/2019 BUDGET PERIOD: FROM 01/01/2019 TO 12/31/2019																			
		6. AWARD DATE 09/21/2018		7. ACTION Initial																	
2a. GRANTEE IRS/VENDOR NO. 926007185		8. SUPPLEMENT NUMBER 00																			
2b. GRANTEE DUNS NO. 001470228		9. PREVIOUS AWARD AMOUNT \$ 0																			
3. PROJECT TITLE FY18 Paul Coverdell Forensic Science Improvement Grants Program - Alaska Scientific Crime Detection Laboratory		10. AMOUNT OF THIS AWARD \$ 271,960																			
		11. TOTAL AWARD \$ 271,960																			
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).																					
13. STATUTORY AUTHORITY FOR GRANT This project is supported under FY18(NIJ - Coverdell Forensic Science Improvement) 34 USC 10561-10566; 28 USC 530C																					
14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number) 16.742 - Paul Coverdell Forensic Sciences Improvement Grant Program																					
15. METHOD OF PAYMENT GPRS																					
[REDACTED] AGENCY APPROVAL [REDACTED]		[REDACTED] GRANTEE ACCEPTANCE [REDACTED]																			
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Matt Dummermuth Principal Deputy Assistant Attorney General		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Kelly Howell Director																			
17. SIGNATURE OF APPROVING OFFICIAL 		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL		19A. DATE																	
[REDACTED] AGENCY USE ONLY [REDACTED]																					
20. ACCOUNTING CLASSIFICATION CODES <table border="1"> <thead> <tr> <th>FISCAL YEAR</th> <th>FUND CODE</th> <th>BUD. ACT.</th> <th>DIV. OFC.</th> <th>REG.</th> <th>SUB.</th> <th>POMS</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>X</td> <td>B</td> <td>CD</td> <td>60</td> <td>00</td> <td>00</td> <td></td> <td>271960</td> </tr> </tbody> </table>		FISCAL YEAR	FUND CODE	BUD. ACT.	DIV. OFC.	REG.	SUB.	POMS	AMOUNT	X	B	CD	60	00	00		271960	21. TCDSGT0015			
FISCAL YEAR	FUND CODE	BUD. ACT.	DIV. OFC.	REG.	SUB.	POMS	AMOUNT														
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SPECIAL CONDITIONS

1. Requirements of the award; remedies for non-compliance or for materially false statements

The conditions of this award are material requirements of the award. Compliance with any certifications or assurances submitted by or on behalf of the recipient that relate to conduct during the period of performance also is a material requirement of this award.

Failure to comply with any one or more of these award requirements -- whether a condition set out in full below, a condition incorporated by reference below, or a certification or assurance related to conduct during the award period -- may result in the Office of Justice Programs ("OJP") taking appropriate action with respect to the recipient and the award. Among other things, the OJP may withhold award funds, disallow costs, or suspend or terminate the award. The Department of Justice ("DOJ"), including OJP, also may take other legal action as appropriate.

Any materially false, fictitious, or fraudulent statement to the federal government related to this award (or concealment or omission of a material fact) may be the subject of criminal prosecution (including under 18 U.S.C. 1001 and/or 1621, and/or 34 U.S.C. 10271-10273), and also may lead to imposition of civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. 3729-3730 and 3801-3812).

Should any provision of a requirement of this award be held to be invalid or unenforceable by its terms, that provision shall first be applied with a limited construction so as to give it the maximum effect permitted by law. Should it be held, instead, that the provision is utterly invalid or -unenforceable, such provision shall be deemed severable from this award.

2. Applicability of Part 200 Uniform Requirements

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 2 C.F.R. Part 200, as adopted and supplemented by DOJ in 2 C.F.R. Part 2800 (together, the "Part 200 Uniform Requirements") apply to this FY 2018 award from OJP.

The Part 200 Uniform Requirements were first adopted by DOJ on December 26, 2014. If this FY 2018 award supplements funds previously awarded by OJP under the same award number (e.g., funds awarded during or before December 2014), the Part 200 Uniform Requirements apply with respect to all funds under that award number (regardless of the award date, and regardless of whether derived from the initial award or a supplemental award) that are obligated on or after the acceptance date of this FY 2018 award.

For more information and resources on the Part 200 Uniform Requirements as they relate to OJP awards and subawards ("subgrants"), see the OJP website at <https://ojp.gov/funding/Part200UniformRequirements.htm>.

Record retention and access: Records pertinent to the award that the recipient (and any subrecipient ("subgrantee") at any tier) must retain -- typically for a period of 3 years from the date of submission of the final expenditure report (SF 425), unless a different retention period applies -- and to which the recipient (and any subrecipient ("subgrantee") at any tier) must provide access, include performance measurement information, in addition to the financial records, supporting documents, statistical records, and other pertinent records indicated at 2 C.F.R. 200.333.

In the event that an award-related question arises from documents or other materials prepared or distributed by OJP that may appear to conflict with, or differ in some way from, the provisions of the Part 200 Uniform Requirements, the recipient is to contact OJP promptly for clarification.



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3. Compliance with DOJ Grants Financial Guide

References to the DOJ Grants Financial Guide are to the DOJ Grants Financial Guide as posted on the OJP website (currently, the "DOJ Grants Financial Guide" available at <https://ojp.gov/financialguide/DOJ/index.htm>), including any updated version that may be posted during the period of performance. The recipient agrees to comply with the DOJ Grants Financial Guide.

4. Reclassification of various statutory provisions to a new Title 34 of the United States Code

On September 1, 2017, various statutory provisions previously codified elsewhere in the U.S. Code were editorially reclassified to a new Title 34, entitled "Crime Control and Law Enforcement." The reclassification encompassed a number of statutory provisions pertinent to OJP awards (that is, OJP grants and cooperative agreements), including many provisions previously codified in Title 42 of the U.S. Code.

Effective as of September 1, 2017, any reference in this award document to a statutory provision that has been reclassified to the new Title 34 of the U.S. Code is to be read as a reference to that statutory provision as reclassified to Title 34. This rule of construction specifically includes references set out in award conditions, references set out in material incorporated by reference through award conditions, and references set out in other award requirements.

5. Required training for Point of Contact and all Financial Points of Contact

Both the Point of Contact (POC) and all Financial Points of Contact (FPOCs) for this award must have successfully completed an "OJP financial management and grant administration training" by 120 days after the date of the recipient's acceptance of the award. Successful completion of such a training on or after January 1, 2016, will satisfy this condition.

In the event that either the POC or an FPOC for this award changes during the period of performance, the new POC or FPOC must have successfully completed an "OJP financial management and grant administration training" by 120 calendar days after-- (1) the date of OJP's approval of the "Change Grantee Contact" GAN (in the case of a new POC), or (2) the date the POC enters information on the new FPOC in GMS (in the case of a new FPOC). Successful completion of such a training on or after January 1, 2016, will satisfy this condition.

A list of OJP trainings that OJP will consider "OJP financial management and grant administration training" for purposes of this condition is available at <https://www.ojp.gov/training/fmts.htm>. All trainings that satisfy this condition include a session on grant fraud prevention and detection.

The recipient should anticipate that OJP will immediately withhold ("freeze") award funds if the recipient fails to comply with this condition. The recipient's failure to comply also may lead OJP to impose additional appropriate conditions on this award.

6. Requirements related to "de minimis" indirect cost rate

A recipient that is eligible under the Part 200 Uniform Requirements and other applicable law to use the "de minimis" indirect cost rate described in 2 C.F.R. 200.414(f), and that elects to use the "de minimis" indirect cost rate, must advise OJP in writing of both its eligibility and its election, and must comply with all associated requirements in the Part 200 Uniform Requirements. The "de minimis" rate may be applied only to modified total direct costs (MTDC) as defined by the Part 200 Uniform Requirements.



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7. Requirement to report potentially duplicative funding

If the recipient currently has other active awards of federal funds, or if the recipient receives any other award of federal funds during the period of performance for this award, the recipient promptly must determine whether funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items for which funds are provided under this award. If so, the recipient must promptly notify the DOJ awarding agency (OJP or OVW, as appropriate) in writing of the potential duplication, and, if so requested by the DOJ awarding agency, must seek a budget-modification or change-of-project-scope grant adjustment notice (GAN) to eliminate any inappropriate duplication of funding.

8. Requirements related to System for Award Management and Universal Identifier Requirements

The recipient must comply with applicable requirements regarding the System for Award Management (SAM), currently accessible at <https://www.sam.gov/>. This includes applicable requirements regarding registration with SAM, as well as maintaining the currency of information in SAM.

The recipient also must comply with applicable restrictions on subawards ("subgrants") to first-tier subrecipients (first-tier "subgrantees"), including restrictions on subawards to entities that do not acquire and provide (to the recipient) the unique entity identifier required for SAM registration.

The details of the recipient's obligations related to SAM and to unique entity identifiers are posted on the OJP web site at <https://ojp.gov/funding/Explore/SAM.htm> (Award condition: System for Award Management (SAM) and Universal Identifier Requirements), and are incorporated by reference here.

This condition does not apply to an award to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).

9. Requirement to report actual or imminent breach of personally identifiable information (PII)

The recipient (and any "subrecipient" at any tier) must have written procedures in place to respond in the event of an actual or imminent "breach" (OMB M-17-12) if it (or a subrecipient)-- 1) creates, collects, uses, processes, stores, maintains, disseminates, discloses, or disposes of "personally identifiable information (PII)" (2 CFR 200.79) within the scope of an OJP grant-funded program or activity, or 2) uses or operates a "Federal information system" (OMB Circular A-130). The recipient's breach procedures must include a requirement to report actual or imminent breach of PII to an OJP Program Manager no later than 24 hours after an occurrence of an actual breach, or the detection of an imminent breach.

10. All subawards ("subgrants") must have specific federal authorization

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements for authorization of any subaward. This condition applies to agreements that -- for purposes of federal grants administrative requirements -- OJP considers a "subaward" (and therefore does not consider a procurement "contract").

The details of the requirement for authorization of any subaward are posted on the OJP web site at <https://ojp.gov/funding/Explore/SubawardAuthorization.htm> (Award condition: All subawards ("subgrants") must have specific federal authorization), and are incorporated by reference here.



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11. Specific post-award approval required to use a noncompetitive approach in any procurement contract that would exceed \$150,000

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements to obtain specific advance approval to use a noncompetitive approach in any procurement contract that would exceed the Simplified Acquisition Threshold (currently, \$150,000). This condition applies to agreements that -- for purposes of federal grants administrative requirements -- OJP considers a procurement "contract" (and therefore does not consider a subaward).

The details of the requirement for advance approval to use a noncompetitive approach in a procurement contract under an OJP award are posted on the OJP web site at <https://ojp.gov/funding/Explore/NoncompetitiveProcurement.htm> (Award condition: Specific post-award approval required to use a noncompetitive approach in a procurement contract (if contract would exceed \$150,000)), and are incorporated by reference here.

12. Requirements pertaining to prohibited conduct related to trafficking in persons (including reporting requirements and OJP authority to terminate award)

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements (including requirements to report allegations) pertaining to prohibited conduct related to the trafficking of persons, whether on the part of recipients, subrecipients ("subgrantees"), or individuals defined (for purposes of this condition) as "employees" of the recipient or of any subrecipient.

The details of the recipient's obligations related to prohibited conduct related to trafficking in persons are posted on the OJP web site at <https://ojp.gov/funding/Explore/ProhibitedConduct-Trafficking.htm> (Award condition: Prohibited conduct by recipients and subrecipients related to trafficking in persons (including reporting requirements and OJP authority to terminate award)), and are incorporated by reference here.

13. Compliance with applicable rules regarding approval, planning, and reporting of conferences, meetings, trainings, and other events

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable laws, regulations, policies, and official DOJ guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences (as that term is defined by DOJ), including the provision of food and/or beverages at such conferences, and costs of attendance at such conferences.

Information on the pertinent DOJ definition of conferences and the rules applicable to this award appears in the DOJ Grants Financial Guide (currently, as section 3.10 of "Postaward Requirements" in the "DOJ Grants Financial Guide").

14. Requirement for data on performance and effectiveness under the award

The recipient must collect and maintain data that measure the performance and effectiveness of work under this award. The data must be provided to OJP in the manner (including within the timeframes) specified by OJP in the program solicitation or other applicable written guidance. Data collection supports compliance with the Government Performance and Results Act (GPRA) and the GPRA Modernization Act of 2010, and other applicable laws.

15. OJP Training Guiding Principles

Any training or training materials that the recipient -- or any subrecipient ("subgrantee") at any tier -- develops or delivers with OJP award funds must adhere to the OJP Training Guiding Principles for Grantees and Subgrantees, available at <https://ojp.gov/funding/Implement/TrainingPrinciplesForGrantees-Subgrantees.htm>.



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16. Effect of failure to address audit issues

The recipient understands and agrees that the DOJ awarding agency (OJP or OVW, as appropriate) may withhold award funds, or may impose other related requirements, if (as determined by the DOJ awarding agency) the recipient does not satisfactorily and promptly address outstanding issues from audits required by the Part 200 Uniform Requirements (or by the terms of this award), or other outstanding issues that arise in connection with audits, investigations, or reviews of DOJ awards.

17. Potential imposition of additional requirements

The recipient agrees to comply with any additional requirements that may be imposed by the DOJ awarding agency (OJP or OVW, as appropriate) during the period of performance for this award, if the recipient is designated as "high-risk" for purposes of the DOJ high-risk grantee list.

18. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 42

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 42, specifically including any applicable requirements in Subpart E of 28 C.F.R. Part 42 that relate to an equal employment opportunity program.

19. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 54

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 54, which relates to nondiscrimination on the basis of sex in certain "education programs."

20. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 38

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 38, specifically including any applicable requirements regarding written notice to program beneficiaries and prospective program beneficiaries.

Among other things, 28 C.F.R. Part 38 includes rules that prohibit specific forms of discrimination on the basis of religion, a religious belief, a refusal to hold a religious belief, or refusal to attend or participate in a religious practice. Part 38 also sets out rules and requirements that pertain to recipient and subrecipient ("subgrantee") organizations that engage in or conduct explicitly religious activities, as well as rules and requirements that pertain to recipients and subrecipients that are faith-based or religious organizations.

The text of the regulation, now entitled "Partnerships with Faith-Based and Other Neighborhood Organizations," is available via the Electronic Code of Federal Regulations (currently accessible at <https://www.ecfr.gov/cgi-bin/ECFR?page=browse>), by browsing to Title 28-Judicial Administration, Chapter 1, Part 38, under e-CFR "current" data.



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21. Restrictions on "lobbying"

In general, as a matter of federal law, federal funds awarded by OJP may not be used by the recipient, or any subrecipient ("subgrantee") at any tier, either directly or indirectly, to support or oppose the enactment, repeal, modification, or adoption of any law, regulation, or policy, at any level of government. See 18 U.S.C. 1913. (There may be exceptions if an applicable federal statute specifically authorizes certain activities that otherwise would be barred by law.)

Another federal law generally prohibits federal funds awarded by OJP from being used by the recipient, or any subrecipient at any tier, to pay any person to influence (or attempt to influence) a federal agency, a Member of Congress, or Congress (or an official or employee of any of them) with respect to the awarding of a federal grant or cooperative agreement, subgrant, contract, subcontract, or loan, or with respect to actions such as renewing, extending, or modifying any such award. See 31 U.S.C. 1352. Certain exceptions to this law apply, including an exception that applies to Indian tribes and tribal organizations.

Should any question arise as to whether a particular use of federal funds by a recipient (or subrecipient) would or might fall within the scope of these prohibitions, the recipient is to contact OJP for guidance, and may not proceed without the express prior written approval of OJP.

22. Compliance with general appropriations-law restrictions on the use of federal funds (FY 2018)

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable restrictions on the use of federal funds set out in federal appropriations statutes. Pertinent restrictions, including from various "general provisions" in the Consolidated Appropriations Act, 2018, are set out at <https://ojp.gov/funding/Explore/FY18AppropriationsRestrictions.htm>, and are incorporated by reference here.

Should a question arise as to whether a particular use of federal funds by a recipient (or a subrecipient) would or might fall within the scope of an appropriations-law restriction, the recipient is to contact OJP for guidance, and may not proceed without the express prior written approval of OJP.

23. Reporting Potential Fraud, Waste, and Abuse, and Similar Misconduct

The recipient and any subrecipients ("subgrantees") must promptly refer to the DOJ Office of the Inspector General (OIG) any credible evidence that a principal, employee, agent, subrecipient, contractor, subcontractor, or other person has, in connection with funds under this award -- (1) submitted a claim that violates the False Claims Act; or (2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct.

Potential fraud, waste, abuse, or misconduct involving or relating to funds under this award should be reported to the OIG by-- (1) mail directed to: Office of the Inspector General, U.S. Department of Justice, Investigations Division, 1425 New York Avenue, N.W. Suite 7100, Washington, DC 20530; and/or (2) the DOJ OIG hotline: (contact information in English and Spanish) at (800) 869-4499 (phone) or (202) 616-9881 (fax).

Additional information is available from the DOJ OIG website at <https://oig.justice.gov/hotline>.



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24. Restrictions and certifications regarding non-disclosure agreements and related matters

No recipient or subrecipient ("subgrantee") under this award, or entity that receives a procurement contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts, or purports to prohibit or restrict, the reporting (in accordance with law) of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information.

The foregoing is not intended, and shall not be understood by the agency making this award, to contravene requirements applicable to Standard Form 312 (which relates to classified information), Form 4414 (which relates to sensitive compartmented information), or any other form issued by a federal department or agency governing the nondisclosure of classified information.

1. In accepting this award, the recipient--

a. represents that it neither requires nor has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

b. certifies that, if it learns or is notified that it is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

2. If the recipient does or is authorized under this award to make subawards ("subgrants"), procurement contracts, or both--

a. it represents that--

(1) it has determined that no other entity that the recipient's application proposes may or will receive award funds (whether through a subaward ("subgrant"), procurement contract, or subcontract under a procurement contract) either requires or has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

(2) it has made appropriate inquiry, or otherwise has an adequate factual basis, to support this representation; and

b. it certifies that, if it learns or is notified that any subrecipient, contractor, or subcontractor entity that receives funds under this award is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds to or by that entity, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.



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25. Compliance with 41 U.S.C. 4712 (including prohibitions on reprisal; notice to employees)

The recipient (and any subrecipient at any tier) must comply with, and is subject to, all applicable provisions of 41 U.S.C. 4712, including all applicable provisions that prohibit, under specified circumstances, discrimination against an employee as reprisal for the employee's disclosure of information related to gross mismanagement of a federal grant, a gross waste of federal funds, an abuse of authority relating to a federal grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal grant.

The recipient also must inform its employees, in writing (and in the predominant native language of the workforce), of employee rights and remedies under 41 U.S.C. 4712.

Should a question arise as to the applicability of the provisions of 41 U.S.C. 4712 to this award, the recipient is to contact the DOJ awarding agency (OJP or OVW, as appropriate) for guidance.

26. Encouragement of policies to ban text messaging while driving

Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," 74 Fed. Reg. 51225 (October 1, 2009), DOJ encourages recipients and subrecipients ("subgrantees") to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this award, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.

27. Requirement to disclose whether recipient is designated "high risk" by a federal grant-making agency outside of DOJ

If the recipient is designated "high risk" by a federal grant-making agency outside of DOJ, currently or at any time during the course of the period of performance under this award, the recipient must disclose that fact and certain related information to OJP by email at OJP.ComplianceReporting@ojp.usdoj.gov. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the recipient's past performance, or other programmatic or financial concerns with the recipient. The recipient's disclosure must include the following: 1. The federal awarding agency that currently designates the recipient high risk, 2. The date the recipient was designated high risk, 3. The high-risk point of contact at that federal awarding agency (name, phone number, and email address), and 4. The reasons for the high-risk status, as set out by the federal awarding agency.

28. FFATA reporting: Subawards and executive compensation

The recipient must comply with applicable requirements to report first-tier subawards ("subgrants") of \$25,000 or more and, in certain circumstances, to report the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients (first-tier "subgrantees") of award funds. The details of recipient obligations, which derive from the Federal Funding Accountability and Transparency Act of 2006 (FFATA), are posted on the OJP web site at <https://ojp.gov/funding/Explore/FFATA.htm> (Award condition: Reporting Subawards and Executive Compensation), and are incorporated by reference here.

This condition, including its reporting requirement, does not apply to-- (1) an award of less than \$25,000, or (2) an award made to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).



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29. Generally Accepted Laboratory Practices

The recipient shall ensure that any forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of the award uses generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies.

External Investigations

The recipient shall ensure that requirements associated with 34 U.S.C. section 10562(4) (which relate to processes in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors) are satisfied with respect to any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

Accreditation

The recipient shall ensure that any forensic laboratory or forensic laboratory system (not including any medical examiner's office or coroner's office) that will receive any portion of the award either is accredited, or will use a portion of this award to prepare and apply for accreditation by not more than two years from the award date of this award.

Additionally, with respect to accreditation, the recipient shall ensure that for any subaward it makes under this award, it will require in a legally-binding and enforceable writing, such as the subaward documentation (for example, subaward terms and conditions), that its subrecipient: 1) if accredited, must continue to demonstrate such accreditation as a condition of receiving or using the subaward funds; or, 2) if not accredited, must use the subaward funds to prepare and apply for accreditation.

The Coverdell statute (see 34 U.S.C. section 10562(2)) and the Paul Coverdell Forensic Science Improvement Grants Program solicitation state certain requirements and guidance associated with proper accreditation and regarding what NIJ will consider to be acceptable documentation of accreditation. The recipient is to contact the NIJ grant manager for clarification or guidance if it should have any question as to what constitutes proper accreditation for the purposes of the Coverdell program. Award funds may not be used under this award by a forensic laboratory or forensic laboratory system with accreditation (or by such laboratory to obtain accreditation) that NIJ determines not to be consistent with the Coverdell law and the solicitation or to be otherwise deficient.

The recipient agrees to notify NIJ promptly upon any change in the accreditation status of any forensic science laboratory or forensic laboratory system that receives funding under this award.



U.S. Department of Justice
Office of Justice Programs
National Institute of Justice

**AWARD CONTINUATION
SHEET
Grant**

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PROJECT NUMBER 2018-CD-BX-0024

AWARD DATE 09/21/2018

SPECIAL CONDITIONS

30. Use of Funds; No Research

Funds provided under this award shall be used only for the purposes and types of expenses set forth in the solicitation. Funds shall not be used for general law enforcement functions or non-forensic investigatory functions, and shall not be used for research or statistical projects or activities. Use of award funds for construction of new facilities is restricted by statute. Any questions concerning this provision should be directed to the NIJ grant manager prior to incurring the expense or commencing the activity in question.

Performance Measures

To ensure compliance with the Government Performance and Results Act (Pub. L. No. 103-62) and the GPRA Modernization Act of 2010 (Pub. L. No. 111-352), program performance under this award is measured by the following: (1) percent reduction in the average number of days from the submission of a sample to a forensic science laboratory to the delivery of test results to a requesting office or agency (calculated by reporting the average number of days to process a sample at the beginning of the grant period versus the average number of days to process a sample at the end of the grant period); (2) percent reduction in the number of backlogged forensic cases (calculated by reporting the number of backlogged forensic cases at the beginning of the grant period versus the number of backlogged forensic cases at the end of grant period), if applicable to the award; and (3) the number of forensic science or medical examiner/coroner's office personnel who completed appropriate training or educational opportunities with these Coverdell funds, if applicable to the award. Recipients are required to collect and report data relevant to these measures.

31. The recipient understands and agrees that gross income (revenues) from fees charged for forensic science or medical examiner services constitutes program income (in whole or in part), and that program income must be determined, used, and documented in accordance with the provisions of 2 C.F.R. 200.307, including as applied in the Department of Justice (DOJ) Grants Financial Guide, as it may be revised from time to time. The recipient further understands and agrees that both program income earned during the award period and expenditures of such program income must be reported on the quarterly and final Federal Financial Reports (SF 425) and are subject to audit.

The recipient understands and agrees that program income earned during the award period may be expended only for permissible uses of funds specifically identified in the solicitation for the Paul Coverdell Forensic Science Improvement Grants Program. The recipient further understands and agrees that program income earned during the award period may not be used to supplant State or local government funds, but instead may be used only to increase the amount of funds that would, in the absence of Federal funds or program income, be available from State or local government sources for the permissible uses of funds listed in the solicitation.

The recipient understands and agrees that program income that is earned during the final ninety (90) days of the award period may, if appropriate, be obligated (as well as expended) for permissible uses during the ninety-day (90-day) period following the end of the award period. The recipient further understands and agrees that any program income earned during the award period that is not obligated and expended within ninety (90) days of the end of the award period must be returned to OJP.

32. The recipient understands and agrees that, throughout the award period, it must promptly notify NIJ if it either starts or stops charging fees for forensic science or medical examiner services, or if it revises its method of allocating fees received for such services to program income. Notice must be provided in writing to the NIJ grant manager for the award within ten (10) business days of implementation of the change.
33. The recipient agrees that it will submit quarterly financial status reports to OJP on-line (at <https://grants.ojp.usdoj.gov>) using the SF 425 Federal Financial Report form (available for viewing at <https://www.gsa.gov/forms-library/federal-financial-report>), not later than 30 days after the end of each calendar quarter. The final report shall be submitted not later than 90 days following the end of the award period.



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Grant**

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PROJECT NUMBER 2018-CD-BX-0024

AWARD DATE 09/21/2018

SPECIAL CONDITIONS

34. The recipient shall submit semiannual progress reports. Progress reports shall be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. These reports will be submitted to the Office of Justice Programs, on-line through the Internet at <https://grants.ojp.usdoj.gov/>.
35. The recipient agrees to submit a final report, at the end of this award, documenting all relevant project activities during the entire period of support under this award. This report will include the following: (1) a summary and assessment of the program carried out with this grant, which shall include a comparison of pre-grant and post-grant forensic science capabilities (and shall cite the specific improvements in quality and/or timeliness of forensic science or medical examiner/coroner's office services); (2) the average number of days between submission of a sample to a forensic science laboratory or forensic science laboratory system in that State operated by the State or by a unit of local government and the delivery of test results to the requesting office or agency; (3) an identification of the number and type of cases currently accepted by the forensic science laboratory or forensic science laboratory system; and (4) with respect to any unaccredited forensic science service provider receiving funds from this award for accreditation, full details on the progress of any such provider toward obtaining accreditation. The recipient is required to collect data necessary for this report. This report is due no later than 90 days following the close of the award period or the expiration of any extension periods. The report can be filed online through the Internet at: <https://grants.ojp.usdoj.gov/>.
36. The recipient acknowledges that, as stated in the solicitation for the Paul Coverdell Forensic Science Improvement Grants Program, NIJ assumes that recipients (and subrecipients) of Coverdell funds will make use of the process referenced in their certification as to external investigations and will refer allegations of serious negligence or misconduct substantially affecting the integrity of forensic results to government entities with an appropriate process in place to conduct independent external investigations, such as the government entity (or entities) identified in the grant application. The recipient shall submit the following information as part of its final report: (1) the number and nature of any allegations of serious negligence or misconduct substantially affecting the integrity of forensic results received during the 12-month period of the award; (2) information on the referrals of such allegations (e.g., the government entity or entities to which referred, the date of referral); (3) the outcome of such referrals (if known as of the date of the report); and (4) if any such allegations were not referred, the reason(s) for the non-referral. Should the project period for this award be extended, the recipient shall submit the above information as to the first twelve months of the award as part of the first semi-annual progress report that comes due after the conclusion of the first twelve months of the project period, and shall submit the required information as to subsequent twelve-month periods every twelve months thereafter (as part of a semi-annual progress report) until the close of the award period, at which point the recipient shall submit the required information as to any period not covered by prior reports as part of its final report. The recipient understands and agrees that funds may be withheld (including funds under future awards), or other related requirements may be imposed, if the required information is not submitted on a timely basis.
37. The recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.
38. To assist in information sharing, the award recipient shall provide the NIJ grant manager with a copy of publications (including those prepared for conferences and other presentations) resulting from this award, prior to or simultaneous with their public release. NIJ defines publications as any written, visual or sound material substantively based on the project, formally prepared by the award recipient for dissemination to the public. Submission of publications prior to or simultaneous with their public release aids NIJ in responding to any inquiries that may arise. Any publications - excluding press releases and newsletters - whether published at the recipient's or government's expense, shall contain the following statement: "This project was supported by Award No. _____, awarded by the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice. The opinions, findings, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect those of the Department of Justice." This statement shall appear on the first page of written publications. For audio and video publications, it shall be included immediately after the title of the publication in the audio or video file.



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**AWARD CONTINUATION
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PROJECT NUMBER 2018-CD-BX-0024

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SPECIAL CONDITIONS

39. The recipient shall transmit to the NIJ grant manager copies of all official award-related press releases at least ten (10) working days prior to public release. Advance notice permits time for coordination of release of information by NIJ where appropriate and to respond to press or public inquiries.

40. Copyright; Data rights

The recipient acknowledges that OJP reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use (in whole or in part, including in connection with derivative works), for Federal purposes: (1) any work subject to copyright developed under an award or subaward; and (2) any rights of copyright to which a recipient or subrecipient purchases ownership with Federal support.

The recipient acknowledges that OJP has the right to (1) obtain, reproduce, publish, or otherwise use the data first produced under an award or subaward; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes. "Data" includes data as defined in Federal Acquisition Regulation (FAR) provision 52.227-14 (Rights in Data - General).

It is the responsibility of the recipient (and of each subrecipient, if applicable) to ensure that this condition is included in any subaward under this award.

The recipient has the responsibility to obtain from subrecipients, contractors, and subcontractors (if any) all rights and data necessary to fulfill the recipient's obligations to the Government under this award. If a proposed subrecipient, contractor, or subcontractor refuses to accept terms affording the Government such rights, the recipient shall promptly bring such refusal to the attention of the OJP program manager for the award and not proceed with the agreement in question without further authorization from the OJP program office.

41. Justification of consultant rate

Approval of this award does not indicate approval of any consultant rate in excess of \$650 per day. A detailed justification must be submitted to and approved by the OJP program office prior to obligation or expenditure of such funds.



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PROJECT NUMBER 2018-CD-BX-0024

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SPECIAL CONDITIONS

42. The recipient agrees to comply with all Federal, State, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award.

Categorical Exclusion: Based upon the information provided by the recipient in its application for these funds, NIJ has determined and the recipient understands that the proposed activities meet the definition of a categorical exclusion, as defined in the Department of Justice Procedures for Implementing the National Environmental Policy Act found at 28 CFR Part 61 (including Appendix D). A categorical exclusion is an action that because of the proposed activities' very limited and predictable potential environmental impacts, both on an individual and a cumulative basis, does not have a significant impact on the quality of the human environment. Consequently, no further environmental impact analysis is necessary under the requirements of the National Environmental Policy Act, 42 U.S.C. 4321, for these categorically excluded activities.

Modifications: Throughout the term of this award, the recipient agrees that for any activities that are the subject of this categorical exclusion, it will inform NIJ of-- (1) any change(s) that it is considering making to the previously assessed activities that may be relevant to the environmental impacts of the activities; or (2) any proposed new activities or changed circumstances that may require assessment as to environmental impact, such as new activities that involve the use of chemicals or involve construction or major renovation. The recipient will not implement a proposed change or new activity until NIJ, with the assistance of the recipient, has completed any applicable environmental impact review requirements necessitated by the proposed change or new activity (or changed circumstances) and NIJ has concurred in the proposed change or new activity. This approval will not be unreasonably withheld as long as any requested modification(s) is consistent with eligible program purposes and found acceptable under an NIJ-conducted environmental impact review process.

43. The recipient may not obligate, expend, or draw down any funds under this award until: (1) the recipient has submitted documentation sufficient to demonstrate that any forensic laboratory or forensic laboratory system that will receive any portion of the grant amount either is accredited or will (or will be required to) prepare and apply for accreditation consistent with the Coverdell law and (2) a Grant Adjustment Notice has been issued removing this special condition.
44. The recipient may not obligate, expend, or draw down any funds under this award until: (1) the recipient has submitted a list of all forensic science laboratories in the State that specifies each forensic science laboratory's accreditation status (and the accrediting body) and the scope of each accreditation and (2) a Grant Adjustment Notice has been issued removing this special condition.
45. The recipient may not obligate, expend, or draw down any funds under this award until a revised budget reflecting the final award amount has been received and approved by the National Institute of Justice, and a Grant Adjustment Notice (GAN) has been issued removing this condition.
46. The recipient may not obligate, expend, or draw down any funds under this award until-- (1) it has submitted a revised budget specifying "opioid-related" versus "non-opioid related" line items and a statement (as described in the solicitation) regarding proposed use of funds to address challenges posed by the opioid abuse crisis (if the recipient plans to allocate less than fifty-seven (57) per cent of the final award amount to fund opioid-related projects); (2) the National Institute of Justice has received and approved such submission; and (3) a Grant Adjustment Notice (GAN) has been issued removing this condition.
47. Withholding of funds: Disclosure of lobbying

The recipient may not obligate, expend, or draw down any funds under this award until it has provided to the grant manager for this OJP award a complete Disclosure of Lobbying Activities (SF-LLL) form, and OJP has issued a Grant Adjustment Notice to remove this special condition.



U.S. Department of Justice

Office of Justice Programs

National Institute of Justice

Washington, D.C. 20531

Memorandum To: Official Grant File

From: Steve Schuetz, NEPA Coordinator

Subject: Categorical Exclusion for Alaska Department of Public Safety Administrative Services

The recipient agrees to comply with all Federal, State, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award.

Categorical Exclusion: Based upon the information provided by the recipient in its application for these funds, NIJ has determined and the recipient understands that the proposed activities meet the definition of a categorical exclusion, as defined in the Department of Justice Procedures for Implementing the National Environmental Policy Act found at 28 CFR Part 61 (including Appendix D). A categorical exclusion is an action that because of the proposed activities' very limited and predictable potential environmental impacts, both on an individual and a cumulative basis, does not have a significant impact on the quality of the human environment. Consequently, no further environmental impact analysis is necessary under the requirements of the National Environmental Policy Act, 42 U.S.C. 4321, for these categorically excluded activities.

Modifications: Throughout the term of this award, the recipient agrees that for any activities that are the subject of this categorical exclusion, it will inform NIJ of-- (1) any change(s) that it is considering making to the previously assessed activities that may be relevant to the environmental impacts of the activities; or (2) any proposed new activities or changed circumstances that may require assessment as to environmental impact, such as new activities that involve the use of chemicals or involve construction or major renovation. The recipient will not implement a proposed change or new activity until NIJ, with the assistance of the recipient, has completed any applicable environmental impact review requirements necessitated by the proposed change or new activity (or changed circumstances) and NIJ has concurred in the proposed change or new activity. This approval will not be unreasonably withheld as long as any requested modification(s) is consistent with eligible program purposes and found acceptable under an NIJ-conducted environmental impact review process.

	U.S. Department of Justice Office of Justice Programs National Institute of Justice		GRANT MANAGER'S MEMORANDUM, PT. I: PROJECT SUMMARY Grant	
	PROJECT NUMBER 2018-CD-BX-0024		PAGE 1 OF 1	
This project is supported under FY18(NIJ - Coverdell Forensic Science Improvement) 34 USC 10561-10566; 28 USC 530C				
1. STAFF CONTACT (Name & telephone number) Christine Torres (202) 305-1978		2. PROJECT DIRECTOR (Name, address & telephone number) April Carlson Grants Manager 5700 E. Tudor Road Anchorage, AK 99507-1225 (907) 269-5082		
3a. TITLE OF THE PROGRAM NIJ FY18 Paul Coverdell Forensic Science Improvement Grants Program- FORMULA			3b. POMS CODE (SEE INSTRUCTIONS ON REVERSE)	
4. TITLE OF PROJECT FY18 Paul Coverdell Forensic Science Improvement Grants Program - Alaska Scientific Crime Detection Laboratory				
5. NAME & ADDRESS OF GRANTEE Alaska Department of Public Safety Administrative Services 5700 E. Tudor Road Anchorage, AK 99507-1225		6. NAME & ADDRESS OF SUBGRANTEE		
7. PROGRAM PERIOD FROM: 01/01/2019 TO: 12/31/2019		8. BUDGET PERIOD FROM: 01/01/2019 TO: 12/31/2019		
9. AMOUNT OF AWARD \$ 271,960		10. DATE OF AWARD 09/21/2018		
11. SECOND YEAR'S BUDGET		12. SECOND YEAR'S BUDGET AMOUNT		
13. THIRD YEAR'S BUDGET PERIOD		14. THIRD YEAR'S BUDGET AMOUNT		
15. SUMMARY DESCRIPTION OF PROJECT (See instruction on reverse) The goals of this project are to improve the quality and timeliness of forensic science a services provided by the State of Alaska Department of Public Safety's Scientific Crime Detection Laboratory (SCDL) to Alaska's law enforcement agencies and to eliminate or drastically reduce backlogs in the analysis of forensic evidence. The objectives for this project are to: 1. Maintain the accuracy, reliability, and credibility of results obtained through forensic analysis of samples submitted for identification, and the accurate determination of cause and manner of death. 2. Decrease the number of days between submission of a sample and delivery of test results to the requesting agency.				

3. Eliminate/reduce the backlog of samples awaiting forensic analysis.

The Alaska Scientific Crime Detection Laboratory to use FY 2018 Coverdell grant funds to:

- 1. Provide both discipline specific scientific and quality assurance system training.
- 2. Provide for proficiency tests and ANAB Assessment.

These items and activities will support the achievement of the goals and objectives of this project. nca/ncf



U.S. Department of Justice

Office of Justice Programs

Office of the Assistant Attorney General

Washington, D.C. 20531

August 31, 2018

Ms. Kelly Howell
Alaska Department of Public Safety Administrative Services
5700 E. Tudor Road
Anchorage, AK 99507-1225

Dear Ms. Howell:

On behalf of Attorney General Jefferson Sessions III, it is my pleasure to inform you that the Office of Justice Programs has approved your application for funding under the FY18 DNA Capacity Enhancement and Backlog Reduction (CEBR) Program (Formula) in the amount of \$370,405 for Alaska Department of Public Safety Administrative Services. This funding is for the project titled, "FY 2018 DNA Capacity Enhancement and Backlog Reduction Program."

Enclosed you will find the Grant Award and Special Conditions documents. This award is subject to all administrative and financial requirements, including the timely submission of all financial and programmatic reports, resolution of all interim audit findings, and the maintenance of a minimum level of cash-on-hand. Should you not adhere to these requirements, you will be in violation of the terms of this agreement and the award will be subject to termination for cause or other administrative action as appropriate.

If you have questions regarding this award, please contact:

- Program Questions, Shelia Anderson, Grant Manager at (202) 307-5546; and
- Financial Questions, the Office of the Chief Financial Officer, Customer Service Center (CSC) at (800) 458-0786, or you may contact the CSC at ask.ocfo@usdoj.gov.

Congratulations, and we look forward to working with you.

Sincerely,

A handwritten signature in black ink that reads "Laura L. Rogers".

Laura L. Rogers
Acting Principal Deputy Assistant Attorney General

Enclosures



OFFICE FOR CIVIL RIGHTS

Office of Justice Programs

U.S. Department of Justice

810 7th Street, NW
Washington, DC 20531

Tel: (202) 307-0690

TTY: (202) 307-2027

E-mail: askOCR@usdoj.gov

Website: www.ojp.usdoj.gov/ocr

OCR Letter to All Recipients

August 31, 2018

Ms. Kelly Howell
Alaska Department of Public Safety Administrative Services
5700 E. Tudor Road
Anchorage, AK 99507-1225

Dear Ms. Howell:

Congratulations on your recent award. In establishing financial assistance programs, Congress linked the receipt of federal funding to compliance with federal civil rights laws. The Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ) is responsible for ensuring that recipients of financial assistance from the OJP, the Office of Community Oriented Policing Services (COPS), and the Office on Violence Against Women (OVW) comply with the applicable federal civil rights laws. We at the OCR are available to help you and your organization meet the civil rights requirements that come with DOJ funding.

Ensuring Access to Federally Assisted Programs

Federal laws that apply to recipients of financial assistance from the DOJ prohibit discrimination on the basis of race, color, national origin, religion, sex, or disability in funded programs or activities, not only in employment but also in the delivery of services or benefits. A federal law also prohibits recipients from discriminating on the basis of age in the delivery of services or benefits.

In March of 2013, President Obama signed the Violence Against Women Reauthorization Act of 2013. The statute amends the Violence Against Women Act of 1994 (VAWA) by including a nondiscrimination grant condition that prohibits discrimination based on actual or perceived race, color, national origin, religion, sex, disability, sexual orientation, or gender identity. The new nondiscrimination grant condition applies to certain programs funded after October 1, 2013. The OCR and the OVW have developed answers to some frequently asked questions about this provision to assist recipients of VAWA funds to understand their obligations. The Frequently Asked Questions are available at <https://ojp.gov/about/ocr/vawafaqs.htm>.

Enforcing Civil Rights Laws

All recipients of federal financial assistance, regardless of the particular funding source, the amount of the grant award, or the number of employees in the workforce, are subject to prohibitions against unlawful discrimination. Accordingly, the OCR investigates recipients that are the subject of discrimination complaints from both individuals and groups. In addition, based on regulatory criteria, the OCR selects a number of recipients each year for compliance reviews, audits that require recipients to submit data showing that they are providing services equitably to all segments of their service population and that their employment practices meet equal opportunity standards.

Providing Services to Limited English Proficiency (LEP) Individuals

In accordance with DOJ guidance pertaining to Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000d, recipients of federal financial assistance must take reasonable steps to provide meaningful access to their programs and activities for persons with limited English proficiency (LEP). See U.S. Department of Justice, Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 67 Fed. Reg. 41,455 (2002). For more information on the civil rights responsibilities that recipients have in providing language services to LEP individuals, please see the website <https://www.lep.gov>.

Ensuring Equal Treatment of Faith-Based Organizations and Safeguarding Constitutional Protections Related to Religion

The DOJ regulation, Partnerships with Faith-Based and Other Neighborhood Organizations, 28 C.F.R. pt. 38, updated in April 2016, prohibits all recipient organizations, whether they are law enforcement agencies, governmental agencies, educational institutions, houses of worship, or faith-based organizations, from using financial assistance from the DOJ to fund explicitly religious activities. Explicitly religious activities include worship, religious instruction, or proselytization. While funded organizations may engage in non-funded explicitly religious activities (e.g., prayer), they must hold them separately from the activities funded by the DOJ, and recipients cannot compel beneficiaries to participate in them. The regulation also makes clear that organizations participating in programs funded by the DOJ are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion, religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice. Funded faith-based organizations must also provide written notice to beneficiaries, advising them that if they should object to the religious character of the funded faith based organization, the funded faith-based organization will take reasonable steps to refer the beneficiary to an alternative service provider. For more information on the regulation, please see the OCR's website at <https://ojp.gov/about/ocr/partnerships.htm>.

SAAs and faith-based organizations should also note that the Omnibus Crime Control and Safe Streets Act (Safe Streets Act) of 1968, as amended, 34 U.S.C. § 10228(c); the Victims of Crime Act of 1984, as amended, 34 U.S.C. § 20110(e); the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, 34 U.S.C. § 11182(b); and VAWA, as amended, 34 U.S.C. § 12291(b)(13), contain prohibitions against discrimination on the basis of religion in employment. Despite these nondiscrimination provisions, the DOJ has concluded that it may construe the Religious Freedom Restoration Act (RFRA) on a case-by-case basis to permit some faith-based organizations to receive DOJ funds while taking into account religion when hiring staff, even if the statute that authorizes the funding program generally forbids recipients from considering religion in employment decisions. Please consult with the OCR if you have any questions about the regulation or the application of RFRA to the statutes that prohibit discrimination in employment.

Using Arrest and Conviction Records in Making Employment Decisions

The OCR issued an advisory document for recipients on the proper use of arrest and conviction records in making hiring decisions. See Advisory for Recipients of Financial Assistance from the U.S. Department of Justice on the U.S. Equal Employment Opportunity Commission's Enforcement Guidance: *Consideration of Arrest and Conviction Records in Employment Decisions Under Title VII of the Civil Rights Act of 1964 (June 2013)*, available at https://ojp.gov/about/ocr/pdfs/UseofConviction_Advisory.pdf. Recipients should be mindful that the misuse of arrest or conviction records to screen either applicants for employment or employees for retention or promotion may have a disparate impact based on race or national origin, resulting in unlawful employment discrimination. In light of the Advisory, recipients should consult local counsel in reviewing their employment practices. If warranted, recipients should also incorporate an analysis of the use of arrest and conviction records in their Equal Employment Opportunity Plans (EEOPs) (see below).

Complying with the Safe Streets Act

An organization that is a recipient of financial assistance subject to the nondiscrimination provisions of the Safe Streets Act, must meet two obligations: (1) complying with the federal regulation pertaining to the development of an EEOP (see 28 C.F.R. pt. 42, subpt. E) and (2) submitting to the OCR findings of discrimination (see 28 C.F.R. §§ 42.204(c), .205(c)(5)).

Meeting the EEOP Requirement

An EEOP is a comprehensive document that analyzes a recipient's relevant labor market data, as well as the recipient's employment practices, to identify possible barriers to the participation of women and minorities in all levels of a recipient's workforce. As a recipient of DOJ funding, you may be required to submit an EEOP Certification Report or an EEOP Utilization Report to the OCR. For more information on whether your organization is subject to the EEOP requirements, see <https://ojp.gov/about/ocr/eeop.htm>. Additionally, you may request technical assistance from an EEOP specialist at the OCR by telephone at (202) 616-1771 or by e-mail at EEOPforms@usdoj.gov.

Meeting the Requirement to Submit Findings of Discrimination

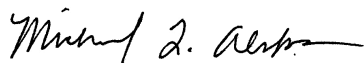
If in the three years prior to the date of the grant award, your organization has received an adverse finding of discrimination based on race, color, national origin, religion, or sex, after a due-process hearing, from a state or federal court or from a state or federal administrative agency, your organization must send a copy of the finding to the OCR.

Ensuring the Compliance of Subrecipients

SAAAs must have standard assurances to notify subrecipients of their civil rights obligations, written procedures to address discrimination complaints filed against subrecipients, methods to monitor subrecipients' compliance with civil rights requirements, and a program to train subrecipients on applicable civil rights laws. In addition, SAAAs must submit to the OCR every three years written Methods of Administration (MOA) that summarize the policies and procedures that they have implemented to ensure the civil rights compliance of subrecipients. For more information on the MOA requirement, see <https://ojp.gov/funding/Explore/StateMethodsAdmin-FY2017update.htm>.



If the OCR can assist you in any way in fulfilling your organization's civil rights responsibilities as a recipient of federal financial assistance, please contact us.

Sincerely,



Michael L. Alston
Director

cc: Grant Manager
Financial Analyst

 <p style="text-align: center;">U.S. Department of Justice Office of Justice Programs National Institute of Justice</p>	<h2 style="margin: 0;">Grant</h2>	<p>PAGE 1 OF 17</p>																
<p>1. RECIPIENT NAME AND ADDRESS (Including Zip Code)</p> <p>Alaska Department of Public Safety Administrative Services 5700 E. Tudor Road Anchorage, AK 99507-1225</p>	<p>4. AWARD NUMBER: 2018-DN-BX-0058</p>																	
<p>2a. GRANTEE IRS/VENDOR NO. 926007185</p>	<p>5. PROJECT PERIOD: FROM 01/01/2019 TO 12/31/2020 BUDGET PERIOD: FROM 01/01/2019 TO 12/31/2020</p>																	
<p>2b. GRANTEE DUNS NO. 001470228</p>	<p>6. AWARD DATE 08/31/2018</p>	<p>7. ACTION</p> <p style="text-align: center;">Initial</p>																
<p>3. PROJECT TITLE FY 2018 DNA Capacity Enhancement and Backlog Reduction Program</p>	<p>8. SUPPLEMENT NUMBER 00</p>																	
<p>9. PREVIOUS AWARD AMOUNT</p>	<p style="text-align: right;">\$ 0</p>																	
<p>10. AMOUNT OF THIS AWARD</p>	<p style="text-align: right;">\$ 370,405</p>																	
<p>11. TOTAL AWARD</p>	<p style="text-align: right;">\$ 370,405</p>																	
<p>12. SPECIAL CONDITIONS</p> <p>THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).</p>																		
<p>13. STATUTORY AUTHORITY FOR GRANT</p> <p>This project is supported under FY18(NIJ - S&LLEA DNA/Other Forensics) Pub. L. No. 115-141, 132 Stat. 348, 421; Pub. L. No. 114-324, section 3(a); 28 USC 530C</p>																		
<p>14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number)</p> <p>16.741 - DNA Backlog Reduction Program</p>																		
<p>15. METHOD OF PAYMENT</p> <p>GPRS</p>																		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="text-align: center;">AGENCY APPROVAL</p> </div> <div style="width: 45%;"> <p style="text-align: center;">GRANTEE ACCEPTANCE</p> </div> </div>																		
<p>16. TYPED NAME AND TITLE OF APPROVING OFFICIAL</p> <p>Laura L. Rogers Acting Principal Deputy Assistant Attorney General</p>	<p>18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL</p> <p>Kelly Howell Director</p>																	
<p>17. SIGNATURE OF APPROVING OFFICIAL</p> 	<p>19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL</p>	<p>19A. DATE</p>																
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="text-align: center;">AGENCY USE ONLY</p> </div> <div style="width: 45%;"></div> </div>																		
<p>20. ACCOUNTING CLASSIFICATION CODES</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">FISCAL YEAR</th> <th style="text-align: left;">FUND CODE</th> <th style="text-align: left;">BUD. ACT.</th> <th style="text-align: left;">DIV. OFC.</th> <th style="text-align: left;">REG.</th> <th style="text-align: left;">SUB.</th> <th style="text-align: left;">POMS</th> <th style="text-align: left;">AMOUNT</th> </tr> </thead> <tbody> <tr> <td>X</td> <td>B</td> <td>DN</td> <td>60</td> <td>00</td> <td>00</td> <td></td> <td>370405</td> </tr> </tbody> </table>	FISCAL YEAR	FUND CODE	BUD. ACT.	DIV. OFC.	REG.	SUB.	POMS	AMOUNT	X	B	DN	60	00	00		370405	<p>21. TDNSGT0004</p>	
FISCAL YEAR	FUND CODE	BUD. ACT.	DIV. OFC.	REG.	SUB.	POMS	AMOUNT											
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SPECIAL CONDITIONS

1. Requirements of the award; remedies for non-compliance or for materially false statements

The conditions of this award are material requirements of the award. Compliance with any certifications or assurances submitted by or on behalf of the recipient that relate to conduct during the period of performance also is a material requirement of this award.

Failure to comply with any one or more of these award requirements -- whether a condition set out in full below, a condition incorporated by reference below, or a certification or assurance related to conduct during the award period -- may result in the Office of Justice Programs ("OJP") taking appropriate action with respect to the recipient and the award. Among other things, the OJP may withhold award funds, disallow costs, or suspend or terminate the award. The Department of Justice ("DOJ"), including OJP, also may take other legal action as appropriate.

Any materially false, fictitious, or fraudulent statement to the federal government related to this award (or concealment or omission of a material fact) may be the subject of criminal prosecution (including under 18 U.S.C. 1001 and/or 1621, and/or 34 U.S.C. 10271-10273), and also may lead to imposition of civil penalties and administrative remedies for false claims or otherwise (including under 31 U.S.C. 3729-3730 and 3801-3812).

Should any provision of a requirement of this award be held to be invalid or unenforceable by its terms, that provision shall first be applied with a limited construction so as to give it the maximum effect permitted by law. Should it be held, instead, that the provision is utterly invalid or -unenforceable, such provision shall be deemed severable from this award.

2. Applicability of Part 200 Uniform Requirements

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 2 C.F.R. Part 200, as adopted and supplemented by DOJ in 2 C.F.R. Part 2800 (together, the "Part 200 Uniform Requirements") apply to this FY 2018 award from OJP.

The Part 200 Uniform Requirements were first adopted by DOJ on December 26, 2014. If this FY 2018 award supplements funds previously awarded by OJP under the same award number (e.g., funds awarded during or before December 2014), the Part 200 Uniform Requirements apply with respect to all funds under that award number (regardless of the award date, and regardless of whether derived from the initial award or a supplemental award) that are obligated on or after the acceptance date of this FY 2018 award.

For more information and resources on the Part 200 Uniform Requirements as they relate to OJP awards and subawards ("subgrants"), see the OJP website at <https://ojp.gov/funding/Part200UniformRequirements.htm>.

Record retention and access: Records pertinent to the award that the recipient (and any subrecipient ("subgrantee") at any tier) must retain -- typically for a period of 3 years from the date of submission of the final expenditure report (SF 425), unless a different retention period applies -- and to which the recipient (and any subrecipient ("subgrantee") at any tier) must provide access, include performance measurement information, in addition to the financial records, supporting documents, statistical records, and other pertinent records indicated at 2 C.F.R. 200.333.

In the event that an award-related question arises from documents or other materials prepared or distributed by OJP that may appear to conflict with, or differ in some way from, the provisions of the Part 200 Uniform Requirements, the recipient is to contact OJP promptly for clarification.



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3. Compliance with DOJ Grants Financial Guide

References to the DOJ Grants Financial Guide are to the DOJ Grants Financial Guide as posted on the OJP website (currently, the "DOJ Grants Financial Guide" available at <https://ojp.gov/financialguide/DOJ/index.htm>), including any updated version that may be posted during the period of performance. The recipient agrees to comply with the DOJ Grants Financial Guide.

4. Reclassification of various statutory provisions to a new Title 34 of the United States Code

On September 1, 2017, various statutory provisions previously codified elsewhere in the U.S. Code were editorially reclassified to a new Title 34, entitled "Crime Control and Law Enforcement." The reclassification encompassed a number of statutory provisions pertinent to OJP awards (that is, OJP grants and cooperative agreements), including many provisions previously codified in Title 42 of the U.S. Code.

Effective as of September 1, 2017, any reference in this award document to a statutory provision that has been reclassified to the new Title 34 of the U.S. Code is to be read as a reference to that statutory provision as reclassified to Title 34. This rule of construction specifically includes references set out in award conditions, references set out in material incorporated by reference through award conditions, and references set out in other award requirements.

5. Required training for Point of Contact and all Financial Points of Contact

Both the Point of Contact (POC) and all Financial Points of Contact (FPOCs) for this award must have successfully completed an "OJP financial management and grant administration training" by 120 days after the date of the recipient's acceptance of the award. Successful completion of such a training on or after January 1, 2016, will satisfy this condition.

In the event that either the POC or an FPOC for this award changes during the period of performance, the new POC or FPOC must have successfully completed an "OJP financial management and grant administration training" by 120 calendar days after-- (1) the date of OJP's approval of the "Change Grantee Contact" GAN (in the case of a new POC), or (2) the date the POC enters information on the new FPOC in GMS (in the case of a new FPOC). Successful completion of such a training on or after January 1, 2016, will satisfy this condition.

A list of OJP trainings that OJP will consider "OJP financial management and grant administration training" for purposes of this condition is available at <https://www.ojp.gov/training/fmts.htm>. All trainings that satisfy this condition include a session on grant fraud prevention and detection.

The recipient should anticipate that OJP will immediately withhold ("freeze") award funds if the recipient fails to comply with this condition. The recipient's failure to comply also may lead OJP to impose additional appropriate conditions on this award.

6. Requirements related to "de minimis" indirect cost rate

A recipient that is eligible under the Part 200 Uniform Requirements and other applicable law to use the "de minimis" indirect cost rate described in 2 C.F.R. 200.414(f), and that elects to use the "de minimis" indirect cost rate, must advise OJP in writing of both its eligibility and its election, and must comply with all associated requirements in the Part 200 Uniform Requirements. The "de minimis" rate may be applied only to modified total direct costs (MTDC) as defined by the Part 200 Uniform Requirements.



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7. Requirement to report potentially duplicative funding

If the recipient currently has other active awards of federal funds, or if the recipient receives any other award of federal funds during the period of performance for this award, the recipient promptly must determine whether funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items for which funds are provided under this award. If so, the recipient must promptly notify the DOJ awarding agency (OJP or OVW, as appropriate) in writing of the potential duplication, and, if so requested by the DOJ awarding agency, must seek a budget-modification or change-of-project-scope grant adjustment notice (GAN) to eliminate any inappropriate duplication of funding.

8. Requirements related to System for Award Management and Universal Identifier Requirements

The recipient must comply with applicable requirements regarding the System for Award Management (SAM), currently accessible at <https://www.sam.gov/>. This includes applicable requirements regarding registration with SAM, as well as maintaining the currency of information in SAM.

The recipient also must comply with applicable restrictions on subawards ("subgrants") to first-tier subrecipients (first-tier "subgrantees"), including restrictions on subawards to entities that do not acquire and provide (to the recipient) the unique entity identifier required for SAM registration.

The details of the recipient's obligations related to SAM and to unique entity identifiers are posted on the OJP web site at <https://ojp.gov/funding/Explore/SAM.htm> (Award condition: System for Award Management (SAM) and Universal Identifier Requirements), and are incorporated by reference here.

This condition does not apply to an award to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).

9. Requirement to report actual or imminent breach of personally identifiable information (PII)

The recipient (and any "subrecipient" at any tier) must have written procedures in place to respond in the event of an actual or imminent "breach" (OMB M-17-12) if it (or a subrecipient)-- 1) creates, collects, uses, processes, stores, maintains, disseminates, discloses, or disposes of "personally identifiable information (PII)" (2 CFR 200.79) within the scope of an OJP grant-funded program or activity, or 2) uses or operates a "Federal information system" (OMB Circular A-130). The recipient's breach procedures must include a requirement to report actual or imminent breach of PII to an OJP Program Manager no later than 24 hours after an occurrence of an actual breach, or the detection of an imminent breach.

10. All subawards ("subgrants") must have specific federal authorization

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements for authorization of any subaward. This condition applies to agreements that -- for purposes of federal grants administrative requirements -- OJP considers a "subaward" (and therefore does not consider a procurement "contract").

The details of the requirement for authorization of any subaward are posted on the OJP web site at <https://ojp.gov/funding/Explore/SubawardAuthorization.htm> (Award condition: All subawards ("subgrants") must have specific federal authorization), and are incorporated by reference here.



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11. Specific post-award approval required to use a noncompetitive approach in any procurement contract that would exceed \$150,000

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements to obtain specific advance approval to use a noncompetitive approach in any procurement contract that would exceed the Simplified Acquisition Threshold (currently, \$150,000). This condition applies to agreements that -- for purposes of federal grants administrative requirements -- OJP considers a procurement "contract" (and therefore does not consider a subaward).

The details of the requirement for advance approval to use a noncompetitive approach in a procurement contract under an OJP award are posted on the OJP web site at <https://ojp.gov/funding/Explore/NoncompetitiveProcurement.htm> (Award condition: Specific post-award approval required to use a noncompetitive approach in a procurement contract (if contract would exceed \$150,000)), and are incorporated by reference here.

12. Requirements pertaining to prohibited conduct related to trafficking in persons (including reporting requirements and OJP authority to terminate award)

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements (including requirements to report allegations) pertaining to prohibited conduct related to the trafficking of persons, whether on the part of recipients, subrecipients ("subgrantees"), or individuals defined (for purposes of this condition) as "employees" of the recipient or of any subrecipient.

The details of the recipient's obligations related to prohibited conduct related to trafficking in persons are posted on the OJP web site at <https://ojp.gov/funding/Explore/ProhibitedConduct-Trafficking.htm> (Award condition: Prohibited conduct by recipients and subrecipients related to trafficking in persons (including reporting requirements and OJP authority to terminate award)), and are incorporated by reference here.

13. Compliance with applicable rules regarding approval, planning, and reporting of conferences, meetings, trainings, and other events

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable laws, regulations, policies, and official DOJ guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences (as that term is defined by DOJ), including the provision of food and/or beverages at such conferences, and costs of attendance at such conferences.

Information on the pertinent DOJ definition of conferences and the rules applicable to this award appears in the DOJ Grants Financial Guide (currently, as section 3.10 of "Postaward Requirements" in the "DOJ Grants Financial Guide").

14. Requirement for data on performance and effectiveness under the award

The recipient must collect and maintain data that measure the performance and effectiveness of work under this award. The data must be provided to OJP in the manner (including within the timeframes) specified by OJP in the program solicitation or other applicable written guidance. Data collection supports compliance with the Government Performance and Results Act (GPRA) and the GPRA Modernization Act of 2010, and other applicable laws.

15. OJP Training Guiding Principles

Any training or training materials that the recipient -- or any subrecipient ("subgrantee") at any tier -- develops or delivers with OJP award funds must adhere to the OJP Training Guiding Principles for Grantees and Subgrantees, available at <https://ojp.gov/funding/Implement/TrainingPrinciplesForGrantees-Subgrantees.htm>.



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16. Effect of failure to address audit issues

The recipient understands and agrees that the DOJ awarding agency (OJP or OVW, as appropriate) may withhold award funds, or may impose other related requirements, if (as determined by the DOJ awarding agency) the recipient does not satisfactorily and promptly address outstanding issues from audits required by the Part 200 Uniform Requirements (or by the terms of this award), or other outstanding issues that arise in connection with audits, investigations, or reviews of DOJ awards.

17. Potential imposition of additional requirements

The recipient agrees to comply with any additional requirements that may be imposed by the DOJ awarding agency (OJP or OVW, as appropriate) during the period of performance for this award, if the recipient is designated as "high-risk" for purposes of the DOJ high-risk grantee list.

18. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 42

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 42, specifically including any applicable requirements in Subpart E of 28 C.F.R. Part 42 that relate to an equal employment opportunity program.

19. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 54

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 54, which relates to nondiscrimination on the basis of sex in certain "education programs."

20. Compliance with DOJ regulations pertaining to civil rights and nondiscrimination - 28 C.F.R. Part 38

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable requirements of 28 C.F.R. Part 38, specifically including any applicable requirements regarding written notice to program beneficiaries and prospective program beneficiaries.

Among other things, 28 C.F.R. Part 38 includes rules that prohibit specific forms of discrimination on the basis of religion, a religious belief, a refusal to hold a religious belief, or refusal to attend or participate in a religious practice. Part 38 also sets out rules and requirements that pertain to recipient and subrecipient ("subgrantee") organizations that engage in or conduct explicitly religious activities, as well as rules and requirements that pertain to recipients and subrecipients that are faith-based or religious organizations.

The text of the regulation, now entitled "Partnerships with Faith-Based and Other Neighborhood Organizations," is available via the Electronic Code of Federal Regulations (currently accessible at <https://www.ecfr.gov/cgi-bin/ECFR?page=browse>), by browsing to Title 28-Judicial Administration, Chapter 1, Part 38, under e-CFR "current" data.



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SPECIAL CONDITIONS

21. Restrictions on "lobbying"

In general, as a matter of federal law, federal funds awarded by OJP may not be used by the recipient, or any subrecipient ("subgrantee") at any tier, either directly or indirectly, to support or oppose the enactment, repeal, modification, or adoption of any law, regulation, or policy, at any level of government. See 18 U.S.C. 1913. (There may be exceptions if an applicable federal statute specifically authorizes certain activities that otherwise would be barred by law.)

Another federal law generally prohibits federal funds awarded by OJP from being used by the recipient, or any subrecipient at any tier, to pay any person to influence (or attempt to influence) a federal agency, a Member of Congress, or Congress (or an official or employee of any of them) with respect to the awarding of a federal grant or cooperative agreement, subgrant, contract, subcontract, or loan, or with respect to actions such as renewing, extending, or modifying any such award. See 31 U.S.C. 1352. Certain exceptions to this law apply, including an exception that applies to Indian tribes and tribal organizations.

Should any question arise as to whether a particular use of federal funds by a recipient (or subrecipient) would or might fall within the scope of these prohibitions, the recipient is to contact OJP for guidance, and may not proceed without the express prior written approval of OJP.

22. Compliance with general appropriations-law restrictions on the use of federal funds (FY 2018)

The recipient, and any subrecipient ("subgrantee") at any tier, must comply with all applicable restrictions on the use of federal funds set out in federal appropriations statutes. Pertinent restrictions, including from various "general provisions" in the Consolidated Appropriations Act, 2018, are set out at <https://ojp.gov/funding/Explore/FY18AppropriationsRestrictions.htm>, and are incorporated by reference here.

Should a question arise as to whether a particular use of federal funds by a recipient (or a subrecipient) would or might fall within the scope of an appropriations-law restriction, the recipient is to contact OJP for guidance, and may not proceed without the express prior written approval of OJP.

23. Reporting Potential Fraud, Waste, and Abuse, and Similar Misconduct

The recipient and any subrecipients ("subgrantees") must promptly refer to the DOJ Office of the Inspector General (OIG) any credible evidence that a principal, employee, agent, subrecipient, contractor, subcontractor, or other person has, in connection with funds under this award -- (1) submitted a claim that violates the False Claims Act; or (2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct.

Potential fraud, waste, abuse, or misconduct involving or relating to funds under this award should be reported to the OIG by-- (1) mail directed to: Office of the Inspector General, U.S. Department of Justice, Investigations Division, 1425 New York Avenue, N.W. Suite 7100, Washington, DC 20530; and/or (2) the DOJ OIG hotline: (contact information in English and Spanish) at (800) 869-4499 (phone) or (202) 616-9881 (fax).

Additional information is available from the DOJ OIG website at <https://oig.justice.gov/hotline>.



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24. Restrictions and certifications regarding non-disclosure agreements and related matters

No recipient or subrecipient ("subgrantee") under this award, or entity that receives a procurement contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts, or purports to prohibit or restrict, the reporting (in accordance with law) of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information.

The foregoing is not intended, and shall not be understood by the agency making this award, to contravene requirements applicable to Standard Form 312 (which relates to classified information), Form 4414 (which relates to sensitive compartmented information), or any other form issued by a federal department or agency governing the nondisclosure of classified information.

1. In accepting this award, the recipient--

a. represents that it neither requires nor has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

b. certifies that, if it learns or is notified that it is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

2. If the recipient does or is authorized under this award to make subawards ("subgrants"), procurement contracts, or both--

a. it represents that--

(1) it has determined that no other entity that the recipient's application proposes may or will receive award funds (whether through a subaward ("subgrant"), procurement contract, or subcontract under a procurement contract) either requires or has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

(2) it has made appropriate inquiry, or otherwise has an adequate factual basis, to support this representation; and

b. it certifies that, if it learns or is notified that any subrecipient, contractor, or subcontractor entity that receives funds under this award is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds to or by that entity, will provide prompt written notification to the federal agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.



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25. Compliance with 41 U.S.C. 4712 (including prohibitions on reprisal; notice to employees)

The recipient (and any subrecipient at any tier) must comply with, and is subject to, all applicable provisions of 41 U.S.C. 4712, including all applicable provisions that prohibit, under specified circumstances, discrimination against an employee as reprisal for the employee's disclosure of information related to gross mismanagement of a federal grant, a gross waste of federal funds, an abuse of authority relating to a federal grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal grant.

The recipient also must inform its employees, in writing (and in the predominant native language of the workforce), of employee rights and remedies under 41 U.S.C. 4712.

Should a question arise as to the applicability of the provisions of 41 U.S.C. 4712 to this award, the recipient is to contact the DOJ awarding agency (OJP or OVW, as appropriate) for guidance.

26. Encouragement of policies to ban text messaging while driving

Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," 74 Fed. Reg. 51225 (October 1, 2009), DOJ encourages recipients and subrecipients ("subgrantees") to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this award, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.

27. Requirement to disclose whether recipient is designated "high risk" by a federal grant-making agency outside of DOJ

If the recipient is designated "high risk" by a federal grant-making agency outside of DOJ, currently or at any time during the course of the period of performance under this award, the recipient must disclose that fact and certain related information to OJP by email at OJP.ComplianceReporting@ojp.usdoj.gov. For purposes of this disclosure, high risk includes any status under which a federal awarding agency provides additional oversight due to the recipient's past performance, or other programmatic or financial concerns with the recipient. The recipient's disclosure must include the following: 1. The federal awarding agency that currently designates the recipient high risk, 2. The date the recipient was designated high risk, 3. The high-risk point of contact at that federal awarding agency (name, phone number, and email address), and 4. The reasons for the high-risk status, as set out by the federal awarding agency.



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28. Privacy; quality assurance; CODIS/NDIS

The recipient shall ensure that each DNA analysis conducted and DNA profile generated under this award is maintained pursuant to all applicable Federal privacy requirements, including those described in 34 U.S.C. section 12592(b)(3).

The recipient shall ensure that all forensic DNA analyses conducted with funding under this award are performed either (1) by accredited government-owned laboratories, or (2) through accredited fee-for-service vendors. Accreditation must be by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community.

The recipient shall ensure that any laboratory that conducts forensic DNA analyses under this award undergoes external audits, not less than once every two years, that demonstrate compliance with the Quality Assurance Standards for Forensic DNA Testing Laboratories established by the Director of the Federal Bureau of Investigation.

The recipient shall ensure that all eligible forensic DNA profiles obtained with funding under this award will be entered into the Combined DNA Index System (CODIS), and, where applicable, uploaded to the National DNA Index System (NDIS). No profiles generated with funding from this award may be entered into any non-governmental database without prior express written approval from NIJ.

If any government-owned forensic laboratory that will receive funding under this award to conduct forensic DNA analyses is not a member of NDIS, the laboratory must have a written agreement in place with an NDIS-participating laboratory for the resulting eligible forensic DNA profiles to be entered into CODIS, and, where applicable, uploaded into NDIS.

If the recipient operates a state-designated DNA database laboratory, the recipient shall ensure that analyses of DNA database samples and reviews of associated DNA profiles conducted with funding under this award are performed by a laboratory that (1) is accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community; and (2) undergoes external audits, not less than once every two years, that demonstrate compliance with the requirements of the Quality Assurance Standards for DNA Databasing Laboratories established by the Director of the Federal Bureau of Investigation. The recipient shall ensure that any DNA database samples analyzed with funding under this award are analyzed for all 20 CODIS core STR loci, using commercially available PCR kits accepted by NDIS. The recipient shall also ensure that all profiles obtained from DNA database samples with funding from this award are entered into CODIS within 90 days of completion of analysis, and uploaded into NDIS.

The recipient agrees to notify NIJ promptly upon any change in the accreditation status of any of the forensic science laboratories that receive funding under this award, or their participation in NDIS.

29. No research; nonsupplanting of State or local government funds

The recipient shall ensure that none of the funds provided under this award are used for research or statistical projects or activities as defined by 28 CFR Part 22 or for research as defined by 28 CFR Part 46. Any questions concerning this provision should be directed to the NIJ grant manager for the award.

The recipient shall ensure that Federal funds made available through this award will not supplant State or local government funds, but instead will be used to increase the amount of funds that would, in the absence of Federal funds, be available from State or local government sources for activities funded through this award.

The recipient agrees to notify NIJ promptly if the recipient receives new State or local government funding for any of the purposes included in the approved application for this award.



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30. The recipient agrees to notify NIJ promptly upon any significant reduction in the recipient's estimate of the number of backlogged forensic DNA cases that will be analyzed within twenty-four months using the funds provided under this fiscal year 2018 award, above and beyond those that will be analyzed using funds from other sources.

If applicable, the recipient agrees to notify NIJ promptly upon any significant reduction in the recipient's estimate of the number of DNA database samples that will be analyzed, or associated DNA profiles reviewed, within twenty-four months using the funds provided under this fiscal year 2018 award, above and beyond those that can be analyzed or reviewed using funds from other sources.

31. The recipient understands and agrees that gross income (revenues) from fees charged for DNA testing services constitutes program income (in whole or in part), and that program income must be determined, used, and documented in accordance with the provisions of 2 C.F.R. 200.307, including as applied to the NIJ DNA Capacity Enhancement and Backlog Reduction Program by the Department of Justice (DOJ) Grants Financial Guide, as it may be revised from time to time. The recipient further understands and agrees that both program income earned during the award period and expenditures of such program income must be reported on the quarterly and final Federal Financial Reports (SF 425) and are subject to audit.

The recipient understands and agrees that program income earned during the award period only may be expended only for permissible uses of funds specifically identified in the solicitation for the NIJ FY 2018 DNA Capacity Enhancement and Backlog Reduction Program. The recipient further understands and agrees that program income earned during the award period may not be used to supplant State or local government funds, but instead may be used only to increase the amount of funds that would, in the absence of Federal funds or program income, be available from State or local government sources for the permissible uses of funds listed in the FY 2018 program solicitation.

The recipient understands and agrees that program income that is earned during the final ninety (90) days of the award period may, if appropriate, be obligated (as well as expended) for permissible uses during the ninety-day (90-day) period following the end of the award period. The recipient further understands and agrees that any program income earned during the award period that is not obligated and expended within ninety (90) days of the end of the award period must be returned to OJP.

32. The recipient understands and agrees that, throughout the award period, it must promptly notify NIJ if it either starts or stops charging fees for DNA testing services, or if it revises its method of allocating fees received for DNA testing services to program income. Notice must be provided in writing to the NIJ grant manager for the award within ten (10) business days of implementation of the change.
33. Absent prior express written approval from NIJ, rates for any lodging charged to the award may not exceed the posted GSA rate for the location. (If the recipient opts to obtain lodging at a higher rate, the cost differential, including associated taxes, may not be charged to the award.)
34. The recipient agrees that it will submit quarterly financial status reports to OJP on-line (at <https://grants.ojp.usdoj.gov>) using the SF 425 Federal Financial Report form (available for viewing at <https://www.gsa.gov/forms-library/federal-financial-report>), not later than 30 days after the end of each calendar quarter. The final report shall be submitted not later than 90 days following the end of the award period.
35. The recipient shall submit semiannual progress reports. Progress reports shall be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. These reports will be submitted to the Office of Justice Programs, on-line through the Internet at <https://grants.ojp.usdoj.gov/>.



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SPECIAL CONDITIONS

36. Semiannual progress report narratives

The recipient agrees that its semiannual progress report narratives will include the following: (1) a summary of project goals for the fiscal year 2018 grant; (2) the grant activities performed during the reporting period; (3) the effects of such grant activities toward achieving each project goal for the fiscal year 2018 grant; (4) a description of any observed increases in evidence submissions; and (5) a description of any issues that may negatively impact project goals for the fiscal year 2018 grant.

If it (or any subrecipient) expends any amounts under the award on procurement contracts to private accredited DNA laboratories for analysis of forensic DNA casework samples or DNA database samples during the reporting period, the recipient understands and agrees that it will include in its semiannual progress report narrative (as a separately-designated section entitled, "Private Laboratory Expenditures During this Semiannual Report Period") a list specifying each such private laboratory and the total amounts the recipient (or any subrecipient) expended for such procurement contracts per laboratory during the reporting period. If applicable, the recipient must state in its report narrative with respect to any reporting period during which no such expenditures occurred that it did not expend (nor did any subrecipient expend) any amounts under the award on such procurement contracts. The recipient agrees to take any necessary steps to ensure that reports of such procurement contract expenditures (with respect to the recipient and any subrecipient) are fully supportable by documentation and consistent with expenditures as reported on quarterly financial status reports the recipient submits to OJP.

Final progress report

The recipient agrees to submit a final report, at the end of this award, documenting all relevant project activities during the entire period of performance under this award. This report will include the following: a summary and assessment of the program carried out with the fiscal year 2018 grant, which shall include a comparison of pre-grant and post-grant DNA-forensic capacity and take into account cumulative performance measure data.

The recipient agrees that it will include in its final report a report on any amounts it (or any subrecipient) expended under the award on procurement contracts to private accredited DNA laboratories for analysis of forensic DNA casework samples or DNA database samples that it did not include in any previously-submitted semiannual progress report, in order to ensure that it submits such information to OJP that covers the entire period of performance under this award.

The final report is due no later than 90 days following the close of this award period or the expiration of any extension periods. This report will be submitted to the Office of Justice Programs, on-line through the Internet at <https://grants.ojp.usdoj.gov/>.



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37. Semiannual performance measure data reporting - Forensic DNA casework and capacity enhancement

The recipient agrees to submit applicable performance measure data regarding forensic DNA casework and capacity enhancement at the same time that it submits its semiannual progress reports. These semiannual performance data will be submitted to the Office of Justice Programs, on-line through the Internet at <https://ojpsso.ojp.gov/>. With respect to such data, the reports should contain: (1) information regarding baseline performance metrics (for capacity enhancement projects -- the average number of days between the submission of a request for forensic biology/DNA analysis to the laboratory and the delivery of the test results to the requesting agency at the beginning of the award period, and the average number of forensic DNA samples analyzed per analyst/month at the beginning of the award period; for forensic casework DNA backlog reduction projects -- the number of backlogged forensic biology/DNA cases at the beginning of the award period); (2) progress performance metrics (for capacity enhancement projects -- the average number of days between the submission of a request for forensic biology/DNA analysis to the laboratory and the delivery of the test results to the requesting agency at the end of the reporting period, and the average number of forensic DNA samples analyzed per analyst/month at the end of the reporting period; for forensic casework DNA backlog reduction projects -- the number of backlogged forensic biology/DNA cases at the end of the reporting period, the number of forensic biology/DNA cases analyzed during the reporting period using funds provided under this award, and the number of DNA profiles from forensic analyses entered into CODIS during the reporting period as a result of the funds provided under this award); and (3) impact performance metrics (for forensic casework DNA backlog reduction projects -- the number of CODIS hits during the reporting period attributable to the forensic analyses funded under this award).

For the purposes of performance measure data reporting, a backlogged forensic biology/DNA case is defined as a forensic biology/DNA case that has not been completed within 30 days of receipt in the laboratory.

The recipient shall ensure that all required performance measure data are collected throughout the award period.

38. Semiannual Performance Measure Data Reporting - DNA database sample analysis and capacity enhancement

If the recipient uses award funds for DNA database sample analysis or capacity enhancement, the recipient agrees to submit applicable performance measure data at the same time that it submits its semiannual progress reports. These semiannual performance data will be submitted to the Office of Justice Programs, on-line through the Internet at <https://ojpsso.ojp.gov/>. With respect to such data, the reports should contain: (1) information regarding baseline performance metrics (for DNA database laboratory capacity enhancement projects -- the average number of DNA database samples analyzed per analyst/month at the beginning of the award period; the average number of days between the submission of a DNA database sample to the laboratory and the upload of the DNA profile to CODIS at the beginning of the award period; for DNA database backlog reduction projects -- the number of backlogged DNA database samples at the beginning of the award period); (2) progress performance metrics (for capacity enhancement projects -- the average number of DNA database samples analyzed per analyst/month at the end of the reporting period, the average number of days between the submission of a DNA database sample to the laboratory and the upload of the profile to CODIS at the end of the reporting period; for DNA database backlog reduction projects -- the number of backlogged DNA database samples at the end of the reporting period, the number of DNA database samples analyzed during the reporting period using funds from this award, and the number of DNA profiles from DNA database samples entered into CODIS during the reporting period as a result of the funds provided under this award); and (3) impact performance metrics (for DNA database backlog reduction projects -- the number of CODIS hits during the reporting period resulting from DNA database profiles developed using funds provided under this award).

For the purposes of performance measure data reporting, a backlogged DNA database sample is defined as a DNA database sample that has not been completed within 30 days of receipt in the laboratory.

The recipient shall ensure that all required performance measure data are collected throughout the award period.



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39. Final performance measure data reporting

The recipient agrees to submit applicable performance measure data at the same time that it submits its final report. These final performance data will be submitted to the Office of Justice Programs, on-line through the Internet at <https://ojpsso.ojp.gov/>. With respect to data concerning forensic DNA activities, the final report should contain: (1) for forensic DNA capacity enhancement projects -- the average number of days between the submission of a request for forensic biology/DNA analysis to the laboratory and the delivery of the test results to the requesting agency at the end of the project period, and the average number of forensic DNA samples analyzed per analyst/month at the end of the project period; and (2) for forensic casework DNA backlog reduction projects -- the number of backlogged forensic biology/DNA cases at the end of the project period, the cumulative number of forensic biology/DNA cases analyzed using funds provided under this award, the cumulative number of DNA profiles from forensic analyses entered into CODIS as a result of the funds provided under this award, and the cumulative number of CODIS hits attributable to forensic DNA analyses funded under this award).

For the purposes of performance measure data reporting, a backlogged forensic biology/DNA case is defined as a forensic biology/DNA case that has not been completed within 30 days of receipt in the laboratory.

If the recipient uses award funds for DNA database sample analysis or capacity enhancement, the recipient also agrees to submit applicable performance measure data with its final report. With respect to such data, the final report should contain: (1) for DNA database laboratory capacity enhancement projects -- the average number of DNA database samples analyzed per analyst/month at the end of the project period; the average number of days between the submission of a DNA database sample to the laboratory and the upload of the profile to CODIS at the end of the project period, and (2) for DNA database backlog reduction projects -- the number of backlogged DNA database samples at the end of the project period, the cumulative number of DNA database samples analyzed using funds provided under this award, the cumulative number of profiles from DNA database samples entered into CODIS as the result of funds provided under this award, and the cumulative number of CODIS hits resulting from DNA database profiles developed using funds provided under this award.

For the purposes of performance measure data reporting, a backlogged DNA database sample is defined as a DNA database sample that has not been completed within 30 days of receipt in the laboratory.

The recipient shall ensure that all required performance measure data are collected throughout the award period.

40. The recipient agrees to cooperate with any assessments, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.
41. To assist in information sharing, the award recipient shall provide the NIJ grant manager with a copy of publications (including those prepared for conferences and other presentations) resulting from this award, prior to or simultaneous with their public release. NIJ defines publications as any written, visual or sound material substantively based on the project, formally prepared by the award recipient for dissemination to the public. Submission of publications prior to or simultaneous with their public release aids NIJ in responding to any inquiries that may arise. Any publications - excluding press releases and newsletters - whether published at the recipient's or government's expense, shall contain the following statement: "This project was supported by Award No. _____, awarded by the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice. The opinions, findings, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect those of the Department of Justice." This statement shall appear on the first page of written publications. For audio and video publications, it shall be included immediately after the title of the publication in the audio or video file.



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42. The recipient shall transmit to the NIJ grant manager copies of all official award-related press releases at least ten (10) working days prior to public release. Advance notice permits time for coordination of release of information by NIJ where appropriate and to respond to press or public inquiries.

43. Pursuant to 28 C.F.R. Part 18, OJP may suspend or terminate funding under this award before the completion of the project funded by this award, for the recipient's failure to comply with these special conditions or with the project's goals, plans and methodology set forth in the approved application. In the case of suspension, the recipient will be unable to draw down funds until OJP determines that the recipient is in compliance.

44. Copyright; Data rights

The recipient acknowledges that OJP reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use (in whole or in part, including in connection with derivative works), for Federal purposes: (1) any work subject to copyright developed under an award or subaward; and (2) any rights of copyright to which a recipient or subrecipient purchases ownership with Federal support.

The recipient acknowledges that OJP has the right to (1) obtain, reproduce, publish, or otherwise use the data first produced under an award or subaward; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes. "Data" includes data as defined in Federal Acquisition Regulation (FAR) provision 52.227-14 (Rights in Data - General).

It is the responsibility of the recipient (and of each subrecipient, if applicable) to ensure that this condition is included in any subaward under this award.

The recipient has the responsibility to obtain from subrecipients, contractors, and subcontractors (if any) all rights and data necessary to fulfill the recipient's obligations to the Government under this award. If a proposed subrecipient, contractor, or subcontractor refuses to accept terms affording the Government such rights, the recipient shall promptly bring such refusal to the attention of the OJP program manager for the award and not proceed with the agreement in question without further authorization from the OJP program office.

45. The Project Director and key program personnel designated in the application shall be replaced only for compelling reasons. Successors to key personnel must be approved, and such approval is contingent upon submission of appropriate information, including, but not limited to, a resume. OJP will not unreasonably withhold approval. Changes in other program personnel require only notification to OJP and submission of resumes, unless otherwise designated in the award document.



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46. The recipient agrees to comply with all Federal, State, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award.

Environmental Assessment (EA): For the activities to be conducted under this award, the recipient has prepared an EA that complies with the National Environmental Policy Act (NEPA). These activities have been determined not to have a significant impact on the quality of the human environment.

Modifications: Throughout the term of this award, the recipient agrees that for any activity that is the subject of a completed EA, it will inform NIJ of-- (1) any change(s) that it is considering making to the previously assessed activity that may be relevant to environmental impact; or (2) any proposed new activities or changed circumstances that may require assessment as to environmental impact, such as new activities that involve the use of chemicals or involve construction or major renovation. The recipient will not implement a proposed change or new activity until NIJ, with the assistance of the recipient, has determined whether the proposed change or new activity (or changed circumstances) will require additional review under NEPA. Approval for implementation will not be unreasonably withheld as long as any requested modification(s) is consistent with eligible program purposes and found acceptable under an NIJ-conducted environmental impact review process.

47. The recipient may not obligate, expend, or draw down any funds until the program office has verified that the recipient has submitted all necessary documentation required to comply with the Department of Justice Procedures for Implementing the National Environmental Policy Act found at 28 CFR Part 61 (including Appendix D), and a Grant Adjustment Notice (GAN) has been issued removing this condition.

48. FFATA reporting: Subawards and executive compensation

The recipient must comply with applicable requirements to report first-tier subawards ("subgrants") of \$25,000 or more and, in certain circumstances, to report the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients (first-tier "subgrantees") of award funds. The details of recipient obligations, which derive from the Federal Funding Accountability and Transparency Act of 2006 (FFATA), are posted on the OJP web site at <https://ojp.gov/funding/Explore/FFATA.htm> (Award condition: Reporting Subawards and Executive Compensation), and are incorporated by reference here.

This condition, including its reporting requirement, does not apply to-- (1) an award of less than \$25,000, or (2) an award made to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).

49. With respect to this award, federal funds may not be used to pay cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the federal government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. (An award recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds.)

This limitation on compensation rates allowable under this award may be waived on an individual basis at the discretion of the OJP official indicated in the program announcement under which this award is made.

50. The recipient may not obligate, expend, or draw down any funds until a revised proposal (and any necessary modifications to the budget and budget narrative) has been received and approved by the National Institute of Justice, and a Grant Adjustment Notice has been issued removing this condition.



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51. Withholding of funds: Disclosure of lobbying

The recipient may not obligate, expend, or draw down any funds under this award until it has provided to the grant manager for this OJP award a complete Disclosure of Lobbying Activities (SF-LLL) form, and OJP has issued a Grant Adjustment Notice to remove this special condition.



U.S. Department of Justice

Office of Justice Programs

National Institute of Justice

Washington, D.C. 20531

Memorandum To: Official Grant File

From: Steven Schuetz, Physical Scientist

Subject: Environmental Assessment for Alaska Department of Public Safety Administrative Services

The recipient agrees to comply with all Federal, State, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award.

Environmental Assessment (EA): The recipient agrees and understands that funded activities (whether conducted by the recipient or subrecipients or contractors) may require the preparation of an EA as defined by the Council on Environmental Quality's Regulations for implementing the Procedural Provisions of the National Environmental Policy Act (NEPA), found at 40 CFR Part 1500. An EA is a concise public document that briefly provides sufficient analysis for determining whether to prepare an environmental impact statement (EIS) or a finding of no significant impact for the proposed activity. If in completing an EA for a proposed activity, potential adverse environmental impacts are identified, the EA will serve as a vehicle for developing either alternative approaches or mitigation measures for avoiding or reducing the identified adverse environmental impacts.

Modifications: Throughout the term of this award, the recipient agrees that for any activity that is the subject of a completed EA, it will inform NIJ of-- (1) any change(s) that it is considering making to the previously assessed activity that may be relevant to environmental impact; or (2) any proposed new activities or changed circumstances that may require assessment as to environmental impact, such as new activities that involve the use of chemicals or involve construction or major renovation. The recipient will not implement a proposed change or new activity until NIJ, with the assistance of the recipient, has determined whether the proposed change or activity (or changed circumstances) will require additional review under NEPA. Approval for implementation will not be unreasonably withheld as long as any requested modification(s) is consistent with eligible program purposes and found acceptable under an NIJ-conducted environmental impact review process.

 <div>U.S. Department of Justice Office of Justice Programs National Institute of Justice</div>	GRANT MANAGER'S MEMORANDUM, PT. I: PROJECT SUMMARY	
	Grant	
	PROJECT NUMBER 2018-DN-BX-0058	PAGE 1 OF 1
This project is supported under FY18(NIJ - S&LLEA DNA/Other Forensics) Pub. L. No. 115-141, 132 Stat. 348, 421; Pub. L. No. 114-324, section 3(a); 28 USC 530C		
<div>1. STAFF CONTACT (Name & telephone number) Shelia Anderson (202) 307-5546</div> <div>2. PROJECT DIRECTOR (Name, address & telephone number) April Carlson Grants Manager 5700 E. Tudor Road Anchorage, AK 99507-1225 (907) 269-5082</div>		
3a. TITLE OF THE PROGRAM NIJ FY18 DNA Capacity Enhancement and Backlog Reduction (CEBR) Program (Formula)		3b. POMS CODE (SEE INSTRUCTIONS ON REVERSE)
4. TITLE OF PROJECT FY 2018 DNA Capacity Enhancement and Backlog Reduction Program		
5. NAME & ADDRESS OF GRANTEE Alaska Department of Public Safety Administrative Services 5700 E. Tudor Road Anchorage, AK 99507-1225		6. NAME & ADDRESS OF SUBGRANTEE
7. PROGRAM PERIOD FROM: 01/01/2019 TO: 12/31/2020		8. BUDGET PERIOD FROM: 01/01/2019 TO: 12/31/2020
9. AMOUNT OF AWARD \$ 370,405		10. DATE OF AWARD 08/31/2018
11. SECOND YEAR'S BUDGET		12. SECOND YEAR'S BUDGET AMOUNT
13. THIRD YEAR'S BUDGET PERIOD		14. THIRD YEAR'S BUDGET AMOUNT
15. SUMMARY DESCRIPTION OF PROJECT (See instruction on reverse) The Alaska Scientific Crime Detection Laboratory (AKSCDL), a division of the Alaska Department of Public Safety (DPS), is the agency that is responsible for analyzing evidentiary material associated with criminal investigations for all state and local law enforcement agencies and medical examiners within the state of Alaska. All forensic biology/DNA work is performed in a laboratory in Anchorage. Pursuant to AS 44.41.035, the DPS-AKSCDL is also the agency responsible for conducting analysis on DNA samples collected from convicted felony and misdemeanor offenders as well as certain felony misdemeanor arrestees in the state of Alaska; the AKSCDL is responsible for storing and maintaining the resultant profiles in the State DNA Index System. Approximately 25% of the laboratory's requests for service are for biological analysis. As the only forensic laboratory providing DNA analysis in the State of		

Alaska, the Alaska Scientific Crime Detection laboratory (SCDL) is occasionally the rate limiting step in the criminal justice system for prosecuting these cases. The AKSCDL receives a high number of sexual assault cases that are not positive for the presence of seminal fluid and that yield DNA profiles that are complex mixtures.

With the high volume of sexual assaults, and the complex nature of the analysis, the forensic biology unit is significantly more expensive to operate than other laboratory disciplines. The Federal funding from this award will help to alleviate this burden by providing supplies for processing these cases. Additionally, funding will assist the laboratory in maintaining some of its current capabilities and in meeting quality assurance requirements for accredited laboratories.

NCA/NCF

**Department of Public Safety
Council on Domestic Violence and Sexual Assault**

Subject of RPL: Increase Federal Receipt Authority	ADN/RPL #: 12-9-3050
Amount requested: \$500,000	Appropriation Authority: Sec1 Ch17 SLA 2018 pg 30 ln 21
Funding source: Federal Receipts (1002) Operating	Statutory Authority: AS 18.66.010-060

PURPOSE

The Department of Public Safety, Council on Domestic Violence and Sexual Assault (CDVSA), requests additional federal receipt authority to coordinate, administer, and monitor funds to programs that provide safety and services for Alaskans affected by domestic violence, sexual assault, and other violent crimes.

To expand and enhance funding for the Council's statewide priority of ending the cycle of domestic violence, providing safe shelter for victims of domestic violence, to expand our state's response to sexual assault of children and adults, and to stabilize our community-based programs, CDVSA requires an increase in federal receipt authority of \$500.0 in the FY2019 budget.

Beginning in FFY2015, the Victim of Crime Act (VOCA) federal formula grant award to Alaska has increased each year. While we have three years to expend each year's grant, with the increases we have seen it has been difficult with our staff resources to put an ever-increasing amount of funding into competitive grant programs. Between FFY2017 and FFY2018 our VOCA allocation increased by \$3.38 million from \$4,628,960 in FFY2017 to \$7,912,465 in FFY2018. This is in addition to some remaining FFY2016 VOCA funds and FFY2017 VOCA funds.

With the increase in VOCA funds comes an increased expectation from the Department of Justice that we expand the number of organizations we fund, that we do outreach to broader and more diverse agencies, reaching underserved victims of Domestic Violence and Sexual Assault (DVSA), child abuse, and victims of other violent crimes. Our goal is to provide increased funding to more rural parts of Alaska, to fund services such as increased legal advocacy, safe housing options such as transitional, rapid rehousing and housing first-type programming, and to increase our services to children impacted by family violence and child abuse and sexual abuse.

A second goal is to spend a higher percentage of our federal VOCA funding, to meet the federal expectations of increased and expanded community-based services that came with the increased grant funds received since FFY2015. Due to a lack of necessary federal spending authority, we are unable to take full advantage of these increased VOCA funds, creating a backlog of federal funding and inadequate community-based services for victims and families of domestic and sexual violence.

PREVIOUS LEGISLATIVE CONSIDERATION

The Department of Public Safety, Council on Domestic Violence and Sexual Assault, has previously requested additional federal receipt authority to be utilized to better administer federal funds to community-based programs:

- In FY2017, RPL 12-7-3004, \$1,000,000;
- In FY2018, RPL 12-8-3016, \$2,004,750;
- In FY2019, \$4,004,750 requested and approved by the Legislature; and
- In FY2020 Governor's budget, the CDVSA will be requesting an additional \$4,000,000.

TIMING ISSUES

We have been adding new federal authority at a rate that is realistic and doable. Following a recent review, it was determined that the current FY2019 federal receipt authority would be insufficient to utilize available federal funds.

BUDGETARY ISSUES

The requested increased federal receipt authority will allow for additional grant funds to better meet CDVSA's statutory purpose "to provide for planning and coordination of services to victims of domestic violence or sexual assault or to their families and to perpetrators of domestic violence and sexual assault, and to provide for crisis intervention and prevention programs." We are able to comply with this purpose by funding a statewide system of crisis, intervention and stabilization services to victims and their families and by providing accountability and treatment services to perpetrators of these crimes.

No general funds will be used and no additional match is required for this work. Continuing federal receipts authority will be requested in the next budget and will be utilized during each state fiscal year.

The CDVSA will continue to monitor their federal grants and if a decrease is noticed, the division will promptly request a decrease in federal receipt authority.

Legislative Fiscal Analyst Comment: There are no technical issues with this RPL.

Department of Transportation and Public Facilities

Subject of RPL: Federal Emergency Projects	ADN/RPL#: 25-9-8623
Amount Requested: \$25,000,000	Appropriation Authority: Sec. 1, Ch 19, SLA 2018, Page 11, Lines 11-12
Funding Source: Federal - Capital	Statutory Authority: AS 19.05.030 and 44.42.020

PURPOSE

On November 30, 2018, a major earthquake produced strong seismic shaking that caused widespread and severe damage, primarily within the Municipality of Anchorage, the Matanuska-Susitna Borough, and the Kenai Peninsula Borough. Governor Walker declared a disaster emergency on December 2nd.

This earthquake, and the following aftershocks, have caused widespread and severe damage to major highways and important community roads, bridges, and other transportation infrastructure as well as public building facilities. For example: sections of the Glenn Highway, the Parks/Glenn Interchange, the Parks Highway, the Kenai Spur Highway, and the Seward Highway have all experienced major damage. The Minnesota/International Airport road had experienced damage to two exit ramps.

PREVIOUS LEGISLATIVE CONSIDERATION

Sec. 1, Ch. 19, SLA 2018, Page 11, Lines 11-12, Federal Emergency Projects - \$10,000,000. Requesting \$25,000,000 in Federal authority.

TIMING ISSUES

The federal authority in this appropriation allows the department to set up projects and to mobilize crews to assess the extent of the damage and to make repairs to get these transportation & public building facilities open as soon as possible.

BUDGETARY ISSUES

Additional authority may be requested at a future LB&A meeting, after a thorough inspection and assessment of damages.

Legislative Fiscal Analyst Comment: There are no technical issues with this RPL.