



# **Coronavirus Emergency Supplemental Funding (CESF) Program**

## **REQUEST FOR APPLICATIONS: Proposal Instructions Packet**

**Eligible Applicants:** California Counties

**RFA Released:** November 20, 2020

**Proposals Due:** February 1, 2021

**Grant Period:** March 31, 2021 to January 31, 2022



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# Table of Contents

|  |           |
|--|-----------|
| <b>PART I: GRANT INFORMATION.....</b>  | <b>1</b>  |
| Contact Information .....  | 1         |
| Background Information.....  | 1         |
| Bidder’s Conference .....  | 1         |
| Proposal Due Date and Submission Instructions.....   | 1         |
| Federal Requirements .....   | 2         |
| Description of the Grant.....  | 2         |
| Funding Information.....   | 3         |
| Local Advisory Committee Requirements.....   | 5         |
| Evidence-Informed Principles .....   | 6         |
| General Grant Requirements.....  | 7         |
| Overview of the RFA Process.....   | 9         |
| <b>PART II: PROPOSAL INSTRUCTIONS.....</b>   | <b>11</b> |
| Proposal Narrative .....   | 11        |
| Budget Section .....   | 12        |
| <b>PART III: APPENDIXES.....</b>   | <b>13</b> |
| CESF Appendixes .....  | 13        |
| Appendix A: Funding Allocation Chart .....   | 14        |
| Appendix B: Bureau of Justice Assistance: 2020 California Allocation by City-and-County .....                  | 16        |
| Appendix C: Criteria for Non-Governmental Organizations Receiving CESF .....                                   | 22        |
| Appendix D: CESF Local Advisory Committee Membership Roster .....  | 24        |
| Appendix E: Project Work Plan.....   | 25        |
| Appendix F: Glossary of Terms .....  | 27        |
| Appendix G: Sample Grant Agreement .....   | 29        |
| Appendix H: Governing Board Resolution .....   | 56        |
| Appendix I: Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft and<br>Embezzlement..... | 57        |
| Appendix J: Sample Comprehensive Visit Monitoring Tool .....   | 59        |

**NOTE:** This document contains the necessary information for completing the CESF Program Request for Application (RFA) package. The actual RFA Package is provided as a stand-alone document on the BSCC website at [www.bscc.ca.gov](http://www.bscc.ca.gov).

## **CONFIDENTIALITY NOTICE**

All documents submitted as a part of the Coronavirus Emergency Supplemental Funding (CESF) Program are public documents and may be subject to a request pursuant to the California Public Records Act. The BSCC, as a state agency, may have to disclose these documents to the public. The BSCC cannot ensure the confidentiality of any information submitted in or with this proposal. (Gov. Code, §§ 6250 et seq.)

# PART I: GRANT INFORMATION

## Contact Information

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This Request for Applications (RFA) provides the information necessary to prepare an Application to the Board of State and Community Corrections (BSCC) for grant funds available through the Coronavirus Emergency Supplemental Funding (CESF) Program. Any questions concerning the RFA must be submitted by email to: [CESF@bscc.ca.gov](mailto:CESF@bscc.ca.gov).

The BSCC will accept and respond to questions about this RFA until January 28, 2021. Questions and answers will be posted on the BSCC website and updated periodically up until January 28, 2021.

## Background Information

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The Coronavirus Emergency Supplemental Funding (CESF) Program is administered by the U.S. Department of Justice, Bureau of Justice Assistance (BJA) to fund approaches that prevent, prepare for, and respond to the coronavirus.

In Spring 2020, BJA released a federal CESF solicitation to states and allocated funding to cities and counties through a separate process. The total CESF allocation to California was \$93,684,166. Of that amount, the state portion is \$58,518,568. Separately, cities and counties received \$35,165,598 directly from BJA. This Request for Applications is specific to the state allocation. Please contact BJA with questions about direct city and county allocations.

## Bidder's Conference

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Eligible applicants are invited – but not required – to attend a virtual Bidder's Conference. The purpose of the Bidder's Conference is to answer technical questions and provide clarity on the RFA. Bidder's Conference details are listed below:

### **CESF Bidder's Conference**

Wednesday, December 16, 2020 at 10:00 A.M.

A Zoom Meeting link will be posted to BSCC website [www.bscc.ca.gov](http://www.bscc.ca.gov).

## Proposal Due Date and Submission Instructions

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Proposals must be received by 5:00 P.M. on Monday, February 1, 2021. Applicants must ensure the proposal package is signed with a digital signature **OR** a wet blue ink signature that is then scanned with the completed proposal package. Submit one (1) completed proposal package via email to: [CESF@bscc.ca.gov](mailto:CESF@bscc.ca.gov).

If the BSCC does not receive the proposal package on or before the due date and time noted above, the proposal **will not** be considered.

## **Federal Requirements**

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Federal Statutory Authority: The CESF Program is authorized by Division B of H.R. 748, Pub. L. No. 116-136 (Emergency Appropriations for Coronavirus Health Response and Agency Operations); 28 U.S.C. 530C.

If selected for funding, in addition to implementing the funded project consistent with the Office of Justice Programs (OJP) approved application, the grantees must comply with all award requirements (including all award conditions), as well as all applicable requirements of federal statutes and regulations. Additional information about CESF federal statutes and regulations can be found at: <https://www.bja.gov>.

## **Description of the Grant**

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On March 4, 2020, Governor Gavin Newsom declared a State of Emergency in California to help combat the spread of the Coronavirus (COVID-19). In support of these efforts, California is releasing a non-competitive, formula-based Request for Applications (RFA).

### **Grant Period**

Eligible applicants will be funded for a 10-month period commencing March 31, 2021 and ending January 31, 2022.

### **Eligibility to Apply**

Eligible applicants are California Counties<sup>1</sup>. One (1) application must be submitted on behalf of the County. Applications must be submitted by the Board of Supervisors or the Chief County Administrative Officer.

### **Lead Public Agency**

Applicants are required to designate a Lead Public Agency (LPA) to serve as the coordinator for all grant activities. LPA means a governmental agency with local authority within the applicant county. The applicant may choose to fill the role of LPA itself or it may designate a department, agency, or office under its jurisdiction to serve as the LPA. The role of the LPA is to coordinate with local government agencies and non-governmental organizations to ensure successful implementation of the grant program. The LPA is responsible for data collection and management, invoices, meeting coordination (virtual and/or in-person) and will serve as the primary point of contact with the BSCC.

### **Eligible Activities**

Funds awarded under the CESF Program must be utilized to prevent, prepare for, and respond to the coronavirus with a focus on meeting CESF re-entry related needs.

Allowable projects and purchases include but are not limited to:

- Addressing the medical needs of inmates in state, local, and tribal prisons, jails, and detention centers
- Equipment (Includes law enforcement and medical personal protective equipment)
- Hiring

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<sup>1</sup> Lassen County is not eligible to receive funding through this RFA. The County's per-person direct allocation from BJA is greater than the per-person allocation the BSCC is making available to counties.

- Overtime
- Supplies (Gloves, Masks, Sanitizer)
- Training
- Travel Expenses (Particularly costs related to the distribution of resources to the most impacted areas)

### Unallowable Costs

For information on allowable and unallowable costs refer to the U.S. Department of Justice [Financial Guide](#) and the [BSCC Grant Administration Guide](#).

### Funding Information

The state CESF Program allocation is \$58,518,568. On July 16, 2020, the BSCC awarded \$15,000,000 in funding to the California Department of Corrections and Rehabilitation to help expedite the emergency housing needs of people being released from state prisons. After accounting for grant administrative costs<sup>2</sup>, a total of \$41,763,011 is available to California Counties to prevent, prepare for, and respond to the coronavirus.

### Funding Allocation

CESF funding will be allocated to counties as shown in Table I. A detailed funding chart is also provided as Appendix A.

| <b>Table I: CESF Available Funding Chart</b> |                     |                          |
|--|---------------------|--------------------------|
|  | <b>County</b>       | <b>Available Funding</b> |
| 1  | Alameda County      | \$1,121,503.18           |
| 2  | Alpine County       | \$2,207.01               |
| 3  | Amador County       | \$72,812.13              |
| 4  | Butte County        | \$291,542.54             |
| 5  | Calaveras County    | \$50,786.84              |
| 6  | Colusa County       | \$42,327.51              |
| 7  | Contra Costa County | \$1,547,649.38           |
| 8  | Del Norte County    | \$52,755.75              |
| 9  | El Dorado County    | \$316,901.89             |
| 10   | Fresno County       | \$892,345.82             |
| 11   | Glenn County        | \$56,818.04              |
| 12   | Humboldt County     | \$146,830.64             |
| 13   | Imperial County     | \$250,267.88             |
| 14   | Inyo County         | \$35,915.19              |
| 15   | Kern County         | \$714,959.51             |
| 16   | Kings County        | \$198,072.74             |
| 17   | Lake County         | \$78,481.84              |
| 18   | Lassen County       | \$0                      |
| 19   | Los Angeles County  | \$7,998,604.45           |
| 20   | Madera County       | \$113,036.75             |

<sup>2</sup> Three percent of the award has been retained for administrative purposes

| <b>Table I: CESF Available Funding Chart</b> |                        |                          |
|--|------------------------|--------------------------|
|  | <b>County</b>          | <b>Available Funding</b> |
| 21   | Marin County           | \$394,828.46             |
| 22   | Mariposa County        | \$34,916.04              |
| 23   | Mendocino County       | \$100,230.25             |
| 24   | Merced County          | \$253,750.85             |
| 25   | Modoc County           | \$18,494.85              |
| 26   | Mono County            | \$26,020.34              |
| 27   | Monterey County        | \$558,445.99             |
| 28   | Napa County            | \$145,437.59             |
| 29   | Nevada County          | \$189,613.79             |
| 30   | Orange County          | \$4,878,736.80           |
| 31   | Placer County          | \$664,209.42             |
| 32   | Plumas County          | \$35,289.03              |
| 33   | Riverside County       | \$3,321,764.66           |
| 34   | Sacramento County      | \$1,286,635.35           |
| 35   | San Benito County      | \$120,502.56             |
| 36   | San Bernardino County  | \$2,158,476.30           |
| 37   | San Diego County       | \$4,085,425.63           |
| 38   | San Francisco County   | \$286,020.73             |
| 39   | San Joaquin County     | \$172,300.74             |
| 40   | San Luis Obispo County | \$432,736.99             |
| 41   | San Mateo County       | \$1,193,397.89           |
| 42   | Santa Barbara County   | \$571,122.87             |
| 43   | Santa Clara County     | \$2,700,326.74           |
| 44   | Santa Cruz County      | \$287,512.23             |
| 45   | Shasta County          | \$62,439.36              |
| 46   | Sierra County          | \$6,186.21               |
| 47   | Siskiyou County        | \$85,924.73              |
| 48   | Solano County          | \$393,233.95             |
| 49   | Sonoma County          | \$564,141.48             |
| 50   | Stanislaus County      | \$382,686.87             |
| 51   | Sutter County          | \$80,628.09              |
| 52   | Tehama County          | \$34,879.42              |
| 53   | Trinity County         | \$26,182.68              |
| 54   | Tulare County          | \$579,161.06             |
| 55   | Tuolumne County        | \$67,113.85              |
| 56   | Ventura County         | \$1,214,026.08           |
| 57   | Yolo County            | \$263,822.08             |
| 58   | Yuba County            | \$102,569.95             |

BJA made \$35,165,598 available to California’s cities and counties through a separate application process (Appendix B). All local awards have been allocated based on BJA’s publicly available data. These local allocations were considered as the BSCC developed a formula to allocate the remaining state award. The \$41,763,011 CESF award is divided by the county’s population and the resulting number is the amount per person that should



be allocated (approximately \$1.93). Lassen County is not eligible to receive an allocation because of funds that were already made available to the county through the local BJA allocation.

### **Mandatory Pass-Through Requirement**

Counties must pass-through at least 20 percent of the CESF award to non-governmental community-based organization(s) impacted by coronavirus and providing services in the county. Professional grants management organizations, consulting firms, auditors and evaluators may not count toward meeting this pass-through obligation.

Applicants will be required to submit an assurance that non-governmental organizations receiving CESF meet certain legal and licensure requirements (Appendix C).

### **Match Requirement**

The CESF Program does not have a match requirement.

### **Supplanting**

Supplanting is the deliberate reduction in the amount of federal, state, or local funds being appropriated to an existing program or activity because grant funds have been awarded for the same purposes. Supplanting is strictly prohibited for all BSCC grants. The CESF Program shall be used to support new program activities or to augment or expand existing program activities but shall not be used to replace existing funds. When using outside funds as match, applicants must be careful not to supplant. It is the responsibility of the grantee to ensure that supplanting does not occur. The grantee must keep clear and detailed financial records to show that grant funds are used only for allowable costs and activities.

## **Local Advisory Committee Requirements**

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In order to apply for funding, counties must form a CESF Local Advisory Committee that includes stakeholders who have experience and expertise in the prospective programs and/or services to be implemented by the proposal.

### **Membership**

At a minimum the CESF Local Advisory Committee should include representatives from non-governmental community-based organizations, Tribes, and cities within the county that are impacted by the proposal. Counties may use an existing body, but it must include individuals with the appropriate experience and expertise and address all the requirements listed in this section. A CESF Membership Roster must be provided as part of the application (Appendix D).

Additional membership examples include, but are not limited to, behavioral health professionals, educators, faith-based organizations, individuals impacted by the justice system, youth, law enforcement, social service providers, advocacy groups, housing providers, and concerned citizens. It is the applicant's discretion to determine the maximum size of the committee and meeting frequency (virtual and/or in-person).

## **Responsibilities**

The CESF Local Advisory Committee is responsible for the development, implementation, and oversight of the funded project. This Advisory Committee will, at a minimum, advise on:

- How to identify and prioritize the most pressing needs to be addressed
- How to identify the strategies, programs and/or services to be undertaken to address those needs;
- The development and submission of the grant project; and
- Ongoing implementation of the grant project.

In support of these efforts, each applicant will develop a Project Work Plan that identifies measurable project goals, objectives, and commensurate timelines (Appendix E).

## **Conflict of Interest**

Each applicant should consider state and local conflict of interest laws when selecting members of the CESF Local Advisory Committee. Applicants are advised to check with local counsel about potential conflicts.

## **Evidence-Informed Principles**

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The BSCC is committed to supporting a focus on better outcomes in the criminal justice system and for those involved in it. Applicants that seek funding through this grant process should use data driven decision-making in the development, implementation, and evaluation of their grant-funded projects. In developing a proposal, it may be helpful for applicants to consider the following questions:

**1. Is there evidence or data to suggest that the program is likely to work, i.e., produce a desired benefit?**

For example, was the program you selected used by another jurisdiction with documented positive results? Is there published research on the program you are choosing to implement showing its effectiveness? Is the program being used by another jurisdiction with a similar problem and similar target population?

**2. Once the program is selected, will you be able to demonstrate that it is being carried out as intended?**

For example, does this program provide for a way to monitor quality control or continuous quality improvement? If this program was implemented in another jurisdiction, are there procedures in place to ensure that you are following the model closely (so that you are more likely to achieve the desired outcomes)?

**3. Is there a plan to collect evidence or data that will allow for an evaluation of whether the program “worked?”**

For example, will the program you selected allow for the collection of data or other evidence so that outcomes can be measured at the conclusion of the project? Do you have processes in place to identify, collect and analyze that data/evidence?

Applicants are encouraged to develop a project that incorporates these evidence-informed principles but is tailored to fit the needs of the communities they serve. For additional information and resources related to evidence-based practices and data driven decision making see Appendix F.

## **General Grant Requirements**

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### **Grant Agreement**

Applicants approved for funding by the BSCC Board are required to enter into a grant agreement with the BSCC. Grantees must agree to comply with all terms and conditions of the Grant Agreement. See Appendix G for a sample grant agreement (State of California: Contract and General Terms and Conditions). The terms and conditions of the grant agreement may change before execution.

The grant agreement start date is expected to be March 31, 2021. Grant agreements are considered fully executed only after they are signed by both the Grantee and the BSCC. Work, services and encumbrances cannot begin prior to the grant agreement start date. Work, services and encumbrances that occur after the start date but prior to grant agreement execution may not be reimbursed. Grantees are responsible for maintaining their grant agreement, all invoices, records and relevant documentation for at least three years after the final payment under the contract.

### **Governing Board Resolution**

Local governmental applicants must submit a resolution from their governing board addressing specified requirements as included in the sample Governing Board Resolution, which can be found in Appendix H. A signed resolution is not required at the time of proposal submission; however, grant recipients must have a resolution on file for the CESF Program before a fully executed grant agreement can be completed.

### **Invoices**

Disbursement of grant funds occurs on a reimbursement basis for costs incurred during a reporting period. Grantees shall be paid in one lump sum. The State Controller's Office (SCO) will issue the warrant (check) to the individual designated on the Applicant Information Form as the Financial Officer for the grant. Grantees must submit invoices to the BSCC through an online process no later than 45 days following the end of the invoicing period. Grantees must maintain adequate supporting documentation for all costs claimed on invoices. BSCC staff will conduct a desk review process which requires grantees to submit electronic documentation to support all grant funds claimed during the invoicing period and on-site monitoring visits that will include a review of documentation maintained as substantiation for project expenditures.

Additional information about invoicing can be found in the BSCC Grant Administration Guide, located on the BSCC [website](#).

### **Progress Reports**

Grant award recipients are required to submit progress reports to the BSCC. Progress reports are a critical element in BSCC's monitoring and oversight process. Grantees that are unable to demonstrate that they are making sufficient progress toward project goals and objectives and that funds are being spent down in accordance with the Grant Award Agreement could be subject to the withholding of funds. Applicable forms and instructions will be available to grantees on the BSCC's website.

### **Grantee Orientation Process**

Following the start of the grant period, BSCC staff will conduct a virtual Grantee Orientation on April 7, 2021. The purpose of this mandatory session is to review the program requirements, invoicing and budget modification processes, data collection and reporting requirements, as well as other grant management and monitoring activities. Typically, the Project Director, Financial Officer, Day-to-Day Contact, and service providers attend.

### **Travel**

Travel is usually warranted when personal contact by project-related personnel is the most appropriate method of completing project-related business. The most economical method of transportation, in terms of direct expenses to the project and the project-related personnel's time away from the project, must be used. Grantees are required to include sufficient per diem and travel allocations for project-related personnel to attend any required BSCC training conferences or workshops as described in the Request for Applications and Grant Agreement.

#### **Units of Government**

Grantees that are units of government using BSCC funds may follow either their own written travel and per diem policy or the California State travel and per diem policy. Units of government that plan to use cars from a state, county, city, district carpool, or garage may budget either the mileage rate established by the carpool or garage, or the state mileage rate, not to exceed the loaning agency.

#### **Out-of-State Travel**

Out-of-state travel is generally restricted and only allowed in exceptional situations. Grantees must receive written BSCC approval prior to incurring expenses for out-of-state travel. Even if previously authorized in the Grant Agreement, Grantees must submit a separate written request on Grantee letterhead for approval to the assigned BSCC Field Representative. Out-of-state travel requests must include a detailed justification and budget information.

In addition, California prohibits travel, except under specified circumstances, to states that have been found by the California Attorney General to have discriminatory laws. The BSCC will not reimburse for travel to these states unless the travel meets a specific exception under Government Code section 11139.8, subdivision (c). For additional information, please see: <https://oag.ca.gov/ab1887>.

## **Debarment, Fraud, Theft or Embezzlement**

It is the policy of the BSCC to protect grant funds from unreasonable risks of fraudulent, criminal, or other improper use. As such, the Board will not enter into contracts or provide reimbursement to applicants that have been:

1. debarred by any federal, state, or local government entities during the period of debarment; or
2. convicted of fraud, theft, or embezzlement of federal, state, or local government grant funds for a period of three years following conviction.

Furthermore, the BSCC requires grant recipients to provide an assurance that there has been no applicable debarment, disqualification, suspension, or removal from a federal, state or local grant program on the part of the grantee at the time of application and that the grantee will immediately notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

The BSCC also requires that all grant recipients include, as a condition of award to a subgrantee or subcontractor, a requirement that the subgrantee or subcontractor will provide the same assurances to the grant recipient. If a grant recipient wishes to consider a subgrantee or subcontractor that has been debarred or convicted, the grant recipient must submit a written request for exception to the BSCC along with supporting documentation. All applicants must complete Appendix I certifying that they are in compliance with the BSCC's policies on debarment, fraud, theft and embezzlement.

## **Compliance Monitoring Visits**

The BSCC staff will monitor each project to assess whether the project is in compliance with grant requirements and making progress toward grant objectives. As needed, monitoring visits may also occur to provide technical assistance on fiscal, programmatic, evaluative, and administrative requirements. For your reference, a sample Monitoring Visit Checklist Tool is provided in Appendix J.

## **Overview of the RFA Process**

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### **Confirmation of Receipt of Application**

Upon submission of a proposal, applicants will receive a confirmation email from the BSCC stating that the proposal has been received. The email will be sent to the individual that signed the application and the person listed as the Project Director.

### **Review Process**

BSCC staff will review each application for compliance with the criteria in this RFA.

### **Summary of Key Dates**

The following table shows a timeline of key dates related to the CESF Program.

| Activity                          | Date                    |
|-----------------------------------|-------------------------|
| Release Request for Applications  | November 20, 2020       |
| Virtual Bidder's Conference       | December 16, 2020       |
| <b>Proposals Due to the BSCC</b>  | <b>February 1, 2021</b> |
| Proposal Review                   | February - March, 2021  |
| New Grants Begin                  | March 31, 2021          |
| Mandatory New Grantee Orientation | April 7, 2021           |

## PART II: PROPOSAL INSTRUCTIONS

This section contains pertinent information for completing the CESF Program Request for Application (RFA) package. The Application Package is provided as a stand-alone document on the BSCC website at: [www.bscc.ca.gov](http://www.bscc.ca.gov).

### Proposal Narrative and Budget Instructions

#### Proposal Narrative

The Proposal Narrative must address the Project Need, Project Description, and CESF Local Advisory Committee criteria. The Proposal Narrative must be submitted using the template provided at the end of this document (Arial 12-point font with one-inch margins on all four sides and at 1.5-line spaced) and cannot exceed **six (6) numbered** pages in length. The CESF Local Advisory Committee Roster and Project Work Plan don't count towards the six-page limit.

Within each narrative section, please address the following:

| <b>SECTION One: Project Need Criteria</b> |   |
|---|---|
| 1.1                                       | Description of the need(s) to be addressed by the CESF Program.                                 |
| 1.2                                       | Description of how the need(s) to be addressed by the CESF Program were identified.             |
| 1.3                                       | Describe why the need(s) described above is not met with existing resources.                    |
| 1.4                                       | Provide relevant qualitative and/or quantitative data with citations in support of the need(s). |

| <b>SECTION Two: Project Description Criteria</b> |  |
|--|--|
| 2.1  | Description of how the proposed approach (program, service, activity, etc.) will be utilized to prevent, prepare for, and respond to the coronavirus with a focus on meeting CESF re-entry related needs |
| 2.2  | Description of how the proposed approach will meet re-entry related needs  |

| <b>SECTION Three: CESF Local Advisory Committee Criteria</b> |   |
|--|---|
| 3.1  | Describe the process that was used to determine who would serve on the CESF Local Advisory Committee Criteria   |
| 3.2  | Provide a CESF Local Advisory Committee Roster (Appendix D) including member affiliations and their Non-Governmental Organizations status as relevant.  |
| 3.3  | Provide a Project Work Plan (Appendix E) that: <ul style="list-style-type: none"><li>• Identifies measurable goals, objectives, and commensurate timelines</li><li>• Identifies how the goals will be achieved in terms of the activities, responsible staff/partners, and start and end dates.</li></ul> |

## Budget Section

As part of the application process, applicants are required to submit the CESF Budget Attachment, which is an Excel Workbook that can be accessed using the link below.

➤ To Access the CESF Budget Section, **click [here](#)**

Applicants should be aware that budgets will be subject to review and approval by the BSCC staff to ensure all proposed costs listed within the budget narrative are allowable and eligible for reimbursement. Regardless of any ineligible costs that may need to be addressed post award, the starting budget for the reimbursement invoices and the total amount requested will be the figures used for the Standard Grant Agreement.

Applicants are solely responsible for the accuracy and completeness of the information entered in the Budget Table and Budget Narrative. Detailed instructions for completing the Budget Attachment are listed on the Instructions tab of the Excel workbook. All project costs must be directly related to the objectives and activities of the project. The Budget Table must cover the entire 10-month grant period.

For additional guidance related to grant budgets, refer to the [BSCC Grant Administration Guide](#)

| SECTION III: Project Budget |  |
|-----------------------------|--|
| 4.1                         | Provide complete and detailed budget information that includes: <ul style="list-style-type: none"><li>• Language supporting each expense</li><li>• Expenses that are appropriate for the project's goals and planned activities.</li></ul> |



## PART III: APPENDIXES

### CESF Appendixes

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This section includes the following appendixes:

- Appendix A - Funding Allocation Chart
- Appendix B - Bureau of Justice Assistance: 2020 California CESF Allocation by City-and-County
- Appendix C - Criteria for Non-Governmental Organizations Receiving CESF
- Appendix D - CESF Local Advisory Committee Membership Roster
- Appendix E - Project Work Plan
- Appendix F - Glossary of Terms
- Appendix G - Sample Grant Agreement
- Appendix H - Governing Board Resolution
- Appendix I - Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft and Embezzlement
- Appendix J - Sample Comprehensive Visit Monitoring Tool

## Appendix A: Funding Allocation Chart

| County              | Population Estimate Jan. 2020 | CESF Total Local Allocation | Target Allocation (about \$1.93/person) | Adjusted Allocation (Target minus CESF Total Local Allocation) | Parity Check |
|---------------------|-------------------------------|-----------------------------|---|--|--------------|
| Alameda County      | 1,670,834                     | 2,107,528                   | \$3,229,031                             | \$1,121,503.18   | 1.93258647   |
| Alpine County       | 1,142                         |                             | \$2,207                                 | \$2,207.01   | 1.93258647   |
| Amador County       | 37,676                        |                             | \$72,812                                | \$72,812.13  | 1.93258647   |
| Butte County        | 210,291                       | 114,863                     | \$406,406                               | \$291,542.54   | 1.93258647   |
| Calaveras County    | 45,023                        | 36,224                      | \$87,011                                | \$50,786.84  | 1.93258647   |
| Colusa County       | 21,902                        |                             | \$42,328                                | \$42,327.51  | 1.93258647   |
| Contra Costa County | 1,153,561                     | 681,707                     | \$2,229,356                             | \$1,547,649.38   | 1.93258647   |
| Del Norte County    | 27,298                        |                             | \$52,756                                | \$52,755.75  | 1.93258647   |
| El Dorado County    | 193,227                       | 56,526                      | \$373,428                               | \$316,901.89   | 1.93258647   |
| Fresno County       | 1,023,358                     | 1,085,382                   | \$1,977,728                             | \$892,345.82   | 1.93258647   |
| Glenn County        | 29,400                        |                             | \$56,818                                | \$56,818.04  | 1.93258647   |
| Humboldt County     | 133,302                       | 110,787                     | \$257,618                               | \$146,830.64   | 1.93258647   |
| Imperial County     | 188,777                       | 114,560                     | \$364,828                               | \$250,267.88   | 1.93258647   |
| Inyo County         | 18,584                        |                             | \$35,915                                | \$35,915.19  | 1.93258647   |
| Kern County         | 917,553                       | 1,058,291                   | \$1,773,251                             | \$714,959.51   | 1.93258647   |
| Kings County        | 153,608                       | 98,788                      | \$296,861                               | \$198,072.74   | 1.93258647   |
| Lake County         | 64,040                        | 45,281                      | \$123,763                               | \$78,481.84  | 1.93258647   |
| Lassen County       | 28,833                        | 100,496                     | \$55,722                                | \$0.00   | 3.4854507    |
| Los Angeles County  | 10,172,951                    | 11,661,503                  | \$19,660,107                            | \$7,998,604.45   | 1.93258647   |
| Madera County       | 158,147                       | 192,596                     | \$305,633                               | \$113,036.75   | 1.93258647   |
| Marin County        | 260,831                       | 109,250                     | \$504,078                               | \$394,828.46   | 1.93258647   |
| Mariposa County     | 18,067                        |                             | \$34,916                                | \$34,916.04  | 1.93258647   |
| Mendocino County    | 87,946                        | 69,733                      | \$169,963                               | \$100,230.25   | 1.93258647   |
| Merced County       | 283,521                       | 294,178                     | \$547,929                               | \$253,750.85   | 1.93258647   |
| Modoc County        | 9,570                         |                             | \$18,495                                | \$18,494.85  | 1.93258647   |
| Mono County         | 13,464                        |                             | \$26,020                                | \$26,020.34  | 1.93258647   |
| Monterey County     | 441,143                       | 294,101                     | \$852,547                               | \$558,445.99   | 1.93258647   |
| Napa County         | 139,088                       | 123,362                     | \$268,800                               | \$145,437.59   | 1.93258647   |
| Nevada County       | 98,114                        |                             | \$189,614                               | \$189,613.79   | 1.93258647   |
| Orange County       | 3,194,332                     | 1,294,586                   | \$6,173,323                             | \$4,878,736.80   | 1.93258647   |
| Placer County       | 403,711                       | 115,997                     | \$780,206                               | \$664,209.42   | 1.93258647   |
| Plumas County       | 18,260                        |                             | \$35,289                                | \$35,289.03  | 1.93258647   |

| County                 | Population Estimate Jan. 2020 | CESF Total Local Allocation | Target Allocation (about \$1.93/person) | Adjusted Allocation (Target minus CESF Total Local Allocation) | Parity Check |
|------------------------|-------------------------------|-----------------------------|---|--|--------------|
| Riverside County       | 2,442,304                     | 1,398,199                   | \$4,719,964                             | \$3,321,764.66   | 1.93258647   |
| Sacramento County      | 1,555,365                     | 1,719,242                   | \$3,005,877                             | \$1,286,635.35   | 1.93258647   |
| San Benito County      | 62,353                        |                             | \$120,503                               | \$120,502.56   | 1.93258647   |
| San Bernardino County  | 2,180,537                     | 2,055,600                   | \$4,214,076                             | \$2,158,476.30   | 1.93258647   |
| San Diego County       | 3,343,355                     | 2,375,897                   | \$6,461,323                             | \$4,085,425.63   | 1.93258647   |
| San Francisco County   | 897,806                       | 1,449,067                   | \$1,735,088                             | \$286,020.73   | 1.93258647   |
| San Joaquin County     | 773,632                       | 1,322,810                   | \$1,495,111                             | \$172,300.74   | 1.93258647   |
| San Luis Obispo County | 277,259                       | 103,090                     | \$535,827                               | \$432,736.99   | 1.93258647   |
| San Mateo County       | 773,244                       | 300,963                     | \$1,494,361                             | \$1,193,397.89   | 1.93258647   |
| Santa Barbara County   | 451,840                       | 302,097                     | \$873,219.87                            | \$571,122.87   | 1.93258647   |
| Santa Clara County     | 1,961,969                     | 1,091,348                   | \$3,791,674.74                          | \$2,700,326.74   | 1.93258647   |
| Santa Cruz County      | 271,233                       | 236,669                     | \$524,181.23                            | \$287,512.23   | 1.93258647   |
| Shasta County          | 178,045                       | 281,648                     | \$344,087.36                            | \$62,439.36  | 1.93258647   |
| Sierra County          | 3,201                         |                             | \$6,186.21                              | \$6,186.21   | 1.93258647   |
| Siskiyou County        | 44,461                        |                             | \$85,924.73                             | \$85,924.73  | 1.93258647   |
| Solano County          | 440,224                       | 457,537                     | \$850,770.95                            | \$393,233.95   | 1.93258647   |
| Sonoma County          | 492,980                       | 388,585                     | \$952,726.48                            | \$564,141.48   | 1.93258647   |
| Stanislaus County      | 557,709                       | 695,134                     | \$1,077,820.87                          | \$382,686.87   | 1.93258647   |
| Sutter County          | 100,750                       | 114,080                     | \$194,708.09                            | \$80,628.09  | 1.93258647   |
| Tehama County          | 65,129                        | 90,988                      | \$125,867.42                            | \$34,879.42  | 1.93258647   |
| Trinity County         | 13,548                        |                             | \$26,182.68                             | \$26,182.68  | 1.93258647   |
| Tulare County          | 479,977                       | 348,436                     | \$927,597.06                            | \$579,161.06   | 1.93258647   |
| Tuolumne County        | 54,917                        | 39,018                      | \$106,131.85                            | \$67,113.85  | 1.93258647   |
| Ventura County         | 842,886                       | 414,924                     | \$1,628,950.08                          | \$1,214,026.08   | 1.93258647   |
| Yolo County            | 221,705                       | 164,642                     | \$428,464.08                            | \$263,822.08   | 1.93258647   |
| Yuba County            | 78,887                        | 49,886                      | \$152,456                               | \$102,569.95   | 1.93258647   |
| <b>Grand Total</b>     | <b>39,782,870</b>             | <b>35,165,599</b>           | <b>\$76,883,836</b>                     | <b>\$41,763,010.99</b>   | 1.93371192   |

Minimum: \$0  
 Maximum: \$7,998,604  
 Average: \$720,052  
 SD: \$1,389,609

**Appendix B: Bureau of Justice Assistance: 2020 California Allocation by City-and-County**

| State | Jurisdiction Name   | Government Type | Joint Allocation |
|-------|---------------------|-----------------|------------------|
| CA    | ADELANTO CITY       | Municipal       | \$54,789         |
| CA    | ALAMEDA CITY        | Municipal       | \$41,660         |
| CA    | ALAMEDA COUNTY      | County          | \$133,882        |
| CA    | ALHAMBRA CITY       | Municipal       | \$36,679         |
| CA    | ANAHEIM CITY        | Municipal       | \$281,722        |
| CA    | ANTIOCH CITY        | Municipal       | \$161,353        |
| CA    | APPLE VALLEY TOWN   | Municipal       | \$58,791         |
| CA    | ARVIN CITY          | Municipal       | \$42,942         |
| CA    | ATWATER CITY        | Municipal       | \$44,376         |
| CA    | AZUSA CITY          | Municipal       | \$37,355         |
| CA    | BAKERSFIELD CITY    | Municipal       | \$411,905        |
| CA    | BALDWIN PARK CITY   | Municipal       | \$70,790         |
| CA    | BANNING CITY        | Municipal       | \$37,433         |
| CA    | BARSTOW CITY        | Municipal       | \$71,392         |
| CA    | BEAUMONT CITY       | Municipal       | \$35,016         |
| CA    | BELL CITY           | Municipal       | \$51,471         |
| CA    | BELLFLOWER CITY     | Municipal       | \$85,127         |
| CA    | BERKELEY CITY       | Municipal       | \$135,693        |
| CA    | BRAWLEY CITY        | Municipal       | \$33,734         |
| CA    | BUENA PARK CITY     | Municipal       | \$58,714         |
| CA    | BURBANK CITY        | Municipal       | \$46,941         |
| CA    | BUTTE COUNTY        | County          | \$37,658         |
| CA    | CALAVERAS COUNTY    | County          | \$36,224         |
| CA    | CARLSBAD CITY       | Municipal       | \$47,395         |
| CA    | CARSON CITY         | Municipal       | \$106,637        |
| CA    | CERES CITY          | Municipal       | \$40,374         |
| CA    | CHICO CITY          | Municipal       | \$77,205         |
| CA    | CHINO CITY          | Municipal       | \$49,431         |
| CA    | CHULA VISTA CITY    | Municipal       | \$166,711        |
| CA    | CITRUS HEIGHTS CITY | Municipal       | \$85,279         |
| CA    | CLOVIS CITY         | Municipal       | \$55,621         |
| CA    | COACHELLA CITY      | Municipal       | \$33,357         |
| CA    | COLTON CITY         | Municipal       | \$48,526         |
| CA    | COMPTON CITY        | Municipal       | \$247,611        |
| CA    | CONCORD CITY        | Municipal       | \$105,655        |
| CA    | CONTRA COSTA COUNTY | County          | \$82,337         |
| CA    | CORONA CITY         | Municipal       | \$46,789         |
| CA    | COSTA MESA CITY     | Municipal       | \$87,467         |
| CA    | COVINA CITY         | Municipal       | \$33,508         |
| CA    | CULVER CITY         | Municipal       | \$41,660         |

| State | Jurisdiction Name       | Government Type | Joint Allocation |
|-------|-------------------------|-----------------|------------------|
| CA    | DALY CITY               | Municipal       | \$56,072         |
| CA    | DELANO CITY             | Municipal       | \$55,166         |
| CA    | DESERT HOT SPRINGS CITY | Municipal       | \$56,526         |
| CA    | DINUBA CITY             | Municipal       | \$41,357         |
| CA    | DOWNEY CITY             | Municipal       | \$82,260         |
| CA    | EAST PALO ALTO CITY     | Municipal       | \$32,226         |
| CA    | EL CAJON CITY           | Municipal       | \$89,355         |
| CA    | EL CENTRO CITY          | Municipal       | \$41,808         |
| CA    | EL DORADO COUNTY        | County          | \$56,526         |
| CA    | EL MONTE CITY           | Municipal       | \$98,035         |
| CA    | ELK GROVE CITY          | Municipal       | \$127,767        |
| CA    | EMERYVILLE CITY         | Municipal       | \$32,903         |
| CA    | ESCONDIDO CITY          | Municipal       | \$125,276        |
| CA    | EUREKA CITY             | Municipal       | \$50,185         |
| CA    | FAIRFIELD CITY          | Municipal       | \$113,806        |
| CA    | FONTANA CITY            | Municipal       | \$180,217        |
| CA    | FREMONT CITY            | Municipal       | \$89,657         |
| CA    | FRESNO CITY             | Municipal       | \$683,062        |
| CA    | FRESNO COUNTY           | County          | \$252,969        |
| CA    | FULLERTON CITY          | Municipal       | \$77,205         |
| CA    | GARDEN GROVE CITY       | Municipal       | \$124,600        |
| CA    | GARDENA CITY            | Municipal       | \$77,884         |
| CA    | GILROY CITY             | Municipal       | \$43,922         |
| CA    | GLENDALE CITY           | Municipal       | \$52,524         |
| CA    | HANFORD CITY            | Municipal       | \$65,280         |
| CA    | HAWTHORNE CITY          | Municipal       | \$141,051        |
| CA    | HAYWARD CITY            | Municipal       | \$132,068        |
| CA    | HEMET CITY              | Municipal       | \$126,484        |
| CA    | HESPERIA CITY           | Municipal       | \$76,676         |
| CA    | HIGHLAND CITY           | Municipal       | \$47,318         |
| CA    | HUMBOLDT COUNTY         | County          | \$60,602         |
| CA    | HUNTINGTON BEACH CITY   | Municipal       | \$93,807         |
| CA    | HUNTINGTON PARK CITY    | Municipal       | \$96,298         |
| CA    | IMPERIAL COUNTY         | County          | \$39,018         |
| CA    | INDIO CITY              | Municipal       | \$125,354        |
| CA    | INGLEWOOD CITY          | Municipal       | \$180,369        |
| CA    | IRVINE CITY             | Municipal       | \$35,094         |
| CA    | JURUPA VALLEY CITY      | Municipal       | \$65,809         |
| CA    | KERN COUNTY             | County          | \$515,072        |
| CA    | KINGS COUNTY            | County          | \$33,508         |
| CA    | LA MESA CITY            | Municipal       | \$41,734         |
| CA    | LAKE COUNTY             | County          | \$45,281         |

| State | Jurisdiction Name  | Government Type | Joint Allocation |
|-------|--------------------|-----------------|------------------|
| CA    | LAKE ELSINORE CITY | Municipal       | \$35,393         |
| CA    | LAKESIDE CITY      | Municipal       | \$57,583         |
| CA    | LANCASTER CITY     | Municipal       | \$251,084        |
| CA    | LASSEN COUNTY      | County          | \$58,008         |
| CA    | LAWDALE CITY       | Municipal       | \$42,865         |
| CA    | LEMON GROVE CITY   | Municipal       | \$35,545         |
| CA    | LIVERMORE CITY     | Municipal       | \$43,242         |
| CA    | LODI CITY          | Municipal       | \$79,318         |
| CA    | LOMPOC CITY        | Municipal       | \$46,638         |
| CA    | LONG BEACH CITY    | Municipal       | \$657,554        |
| CA    | LOS ANGELES CITY   | Municipal       | \$6,375,560      |
| CA    | LOS ANGELES COUNTY | County          | \$1,314,279      |
| CA    | LYNWOOD CITY       | Municipal       | \$101,202        |
| CA    | MADERA CITY        | Municipal       | \$100,599        |
| CA    | MADERA COUNTY      | County          | \$91,997         |
| CA    | MANTECA CITY       | Municipal       | \$53,810         |
| CA    | MARIN COUNTY       | County          | \$58,008         |
| CA    | MENDOCINO COUNTY   | County          | \$69,733         |
| CA    | MERCED CITY        | Municipal       | \$136,975        |
| CA    | MERCED COUNTY      | County          | \$112,827        |
| CA    | MODESTO CITY       | Municipal       | \$468,128        |
| CA    | MONTCLAIR CITY     | Municipal       | \$49,886         |
| CA    | MONTEBELLO CITY    | Municipal       | \$43,393         |
| CA    | MONTEREY COUNTY    | County          | \$58,337         |
| CA    | MORENO VALLEY CITY | Municipal       | \$173,880        |
| CA    | MOUNTAIN VIEW CITY | Municipal       | \$33,660         |
| CA    | NAPA CITY          | Municipal       | \$65,354         |
| CA    | NAPA COUNTY        | County          | \$58,008         |
| CA    | NATIONAL CITY      | Municipal       | \$67,168         |
| CA    | NORWALK CITY       | Municipal       | \$94,787         |
| CA    | OAKLAND CITY       | Municipal       | \$1,330,582      |
| CA    | OCEANSIDE CITY     | Municipal       | \$153,578        |
| CA    | ONTARIO CITY       | Municipal       | \$138,258        |
| CA    | ORANGE CITY        | Municipal       | \$46,638         |
| CA    | ORANGE COUNTY      | County          | \$53,810         |
| CA    | OXNARD CITY        | Municipal       | \$209,498        |
| CA    | PALM SPRINGS CITY  | Municipal       | \$63,695         |
| CA    | PALMDALE CITY      | Municipal       | \$166,633        |
| CA    | PARAMOUNT CITY     | Municipal       | \$69,430         |
| CA    | PASADENA CITY      | Municipal       | \$111,618        |
| CA    | PERRIS CITY        | Municipal       | \$44,904         |
| CA    | PETALUMA CITY      | Municipal       | \$51,091         |
| CA    | PICO RIVERA CITY   | Municipal       | \$49,431         |

| State | Jurisdiction Name             | Government Type | Joint Allocation |
|-------|-------------------------------|-----------------|------------------|
| CA    | PITTSBURG CITY                | Municipal       | \$63,695         |
| CA    | PLACER COUNTY                 | County          | \$65,055         |
| CA    | POMONA CITY                   | Municipal       | \$182,028        |
| CA    | PORTERVILLE CITY              | Municipal       | \$48,903         |
| CA    | RANCHO CORDOVA                | Municipal       | \$67,468         |
| CA    | RANCHO CUCAMONGA CITY         | Municipal       | \$64,826         |
| CA    | RED BLUFF CITY                | Municipal       | \$32,980         |
| CA    | REDDING CITY                  | Municipal       | \$150,108        |
| CA    | REDLANDS CITY                 | Municipal       | \$49,280         |
| CA    | REDONDO BEACH CITY            | Municipal       | \$39,318         |
| CA    | REDWOOD CITY                  | Municipal       | \$42,488         |
| CA    | REEDLEY CITY                  | Municipal       | \$35,016         |
| CA    | RIALTO CITY                   | Municipal       | \$96,072         |
| CA    | RICHMOND CITY                 | Municipal       | \$221,800        |
| CA    | RIDGECREST CITY               | Municipal       | \$33,206         |
| CA    | RIVERSIDE CITY                | Municipal       | \$364,813        |
| CA    | RIVERSIDE COUNTY              | County          | \$188,746        |
| CA    | ROHNERT PARK CITY             | Municipal       | \$47,469         |
| CA    | ROSEMEAD CITY                 | Municipal       | \$37,355         |
| CA    | ROSEVILLE CITY                | Municipal       | \$50,942         |
| CA    | SACRAMENTO CITY               | Municipal       | \$795,286        |
| CA    | SACRAMENTO COUNTY             | County          | \$643,442        |
| CA    | SALINAS CITY                  | Municipal       | \$235,764        |
| CA    | SAN BERNARDINO CITY           | Municipal       | \$632,422        |
| CA    | SAN BERNARDINO COUNTY         | County          | \$204,217        |
| CA    | SAN BUENAVENTURA CITY         | Municipal       | \$90,714         |
| CA    | SAN DIEGO CITY                | Municipal       | \$1,217,682      |
| CA    | SAN DIEGO COUNTY              | County          | \$307,082        |
| CA    | SAN FRANCISCO CITY AND COUNTY | Municipal       | \$1,449,067      |
| CA    | SAN JOAQUIN COUNTY            | County          | \$179,917        |
| CA    | SAN JOSE CITY                 | Municipal       | \$865,998        |
| CA    | SAN LEANDRO CITY              | Municipal       | \$107,391        |
| CA    | SAN LUIS OBISPO CITY          | Municipal       | \$41,431         |
| CA    | SAN LUIS OBISPO COUNTY        | County          | \$61,659         |
| CA    | SAN MARCOS CITY               | Municipal       | \$42,488         |
| CA    | SAN MATEO CITY                | Municipal       | \$58,562         |
| CA    | SAN MATEO COUNTY              | County          | \$70,864         |
| CA    | SAN PABLO CITY                | Municipal       | \$46,867         |
| CA    | SAN RAFAEL CITY               | Municipal       | \$51,242         |

| State | Jurisdiction Name        | Government Type | Joint Allocation |
|-------|--------------------------|-----------------|------------------|
| CA    | SANTA ANA CITY           | Municipal       | \$368,135        |
| CA    | SANTA BARBARA CITY       | Municipal       | \$85,807         |
| CA    | SANTA BARBARA COUNTY     | County          | \$60,602         |
| CA    | SANTA CLARA CITY         | Municipal       | \$39,923         |
| CA    | SANTA CLARA COUNTY       | County          | \$70,261         |
| CA    | SANTA CLARITA CITY       | Municipal       | \$78,033         |
| CA    | SANTA CRUZ CITY          | Municipal       | \$107,845        |
| CA    | SANTA CRUZ COUNTY        | County          | \$65,506         |
| CA    | SANTA MARIA CITY         | Municipal       | \$109,050        |
| CA    | SANTA MONICA CITY        | Municipal       | \$122,637        |
| CA    | SANTA ROSA CITY          | Municipal       | \$149,879        |
| CA    | SELMA CITY               | Municipal       | \$58,714         |
| CA    | SHASTA COUNTY            | County          | \$131,540        |
| CA    | SIMI VALLEY CITY         | Municipal       | \$40,149         |
| CA    | SOLANO COUNTY            | County          | \$58,008         |
| CA    | SONOMA COUNTY            | County          | \$140,146        |
| CA    | SOUTH GATE CITY          | Municipal       | \$143,013        |
| CA    | SOUTH SAN FRANCISCO CITY | Municipal       | \$40,751         |
| CA    | STANISLAUS COUNTY        | County          | \$95,241         |
| CA    | STOCKTON CITY            | Municipal       | \$972,181        |
| CA    | SUNNYVALE CITY           | Municipal       | \$37,584         |
| CA    | SUSANVILLE CITY          | Municipal       | \$42,488         |
| CA    | SUTTER COUNTY            | County          | \$58,008         |
| CA    | TEHAMA                   | County          | \$58,008         |
| CA    | THOUSAND OAKS CITY       | Municipal       | \$35,622         |
| CA    | TORRANCE CITY            | Municipal       | \$55,772         |
| CA    | TRACY CITY               | Municipal       | \$37,584         |
| CA    | TULARE CITY              | Municipal       | \$58,939         |
| CA    | TULARE COUNTY            | County          | \$82,637         |
| CA    | TUOLUMNE COUNTY          | County          | \$39,018         |
| CA    | TURLOCK CITY             | Municipal       | \$91,391         |
| CA    | UNION CITY               | Municipal       | \$60,450         |
| CA    | UPLAND CITY              | Municipal       | \$53,356         |
| CA    | VACAVILLE CITY           | Municipal       | \$49,357         |
| CA    | VALLEJO CITY             | Municipal       | \$236,366        |
| CA    | VENTURA COUNTY           | County          | \$38,941         |
| CA    | VICTORVILLE CITY         | Municipal       | \$180,143        |
| CA    | VISALIA CITY             | Municipal       | \$116,600        |
| CA    | VISTA CITY               | Municipal       | \$81,883         |
| CA    | WATSONVILLE CITY         | Municipal       | \$63,318         |
| CA    | WEST COVINA CITY         | Municipal       | \$60,602         |
| CA    | WEST HOLLYWOOD CITY      | Municipal       | \$61,053         |



| <b>State</b> | <b>Jurisdiction Name</b> | <b>Government Type</b> | <b>Joint Allocation</b> |
|--------------|--------------------------|------------------------|-------------------------|
| CA           | WEST SACRAMENTO CITY     | Municipal              | \$56,072                |
| CA           | WESTMINSTER CITY         | Municipal              | \$67,394                |
| CA           | WHITTIER CITY            | Municipal              | \$60,073                |
| CA           | WOODLAND CITY            | Municipal              | \$50,562                |
| CA           | YOLO COUNTY              | County                 | \$58,008                |
| CA           | YUBA CITY                | Municipal              | \$56,072                |
| CA           | YUBA COUNTY              | County                 | \$49,886                |
|              | <b>Local total</b>       |                        | <b>\$35,165,598</b>     |

## Appendix C: Criteria for Non-Governmental Organizations Receiving CESF

(Page 1 of 2)

The Coronavirus Emergency Supplemental Funding (CESF) Program Request for Proposals (RFP) includes requirements that apply to non-governmental organizations that receive funds under this grant. All grantees are responsible for ensuring that any contracted third parties continually meet these requirements as a condition of receiving CESF. The RFP describes these requirements as follows.

Any non-governmental organization that receives CESF (as either subgrantee or subcontractor) must:

- Have been duly organized, in existence, and in good standing for at least six months prior to the effective date of its fiscal agreement with the BSCC or with the CESF grantee.
- In either instance (applicant or subgrantee), non-governmental entities that have recently reorganized or have merged with other qualified non-governmental entities that were in existence prior to the six-month date are also eligible, provided all necessary agreements have been executed and filed with the California Secretary of State prior to the start date of the grant agreement with the BSCC or the start date of the grantee-subcontractor fiscal agreement.
- Be registered with the California Secretary of State's Office, if applicable;
- Have a valid business license, Employer Identification Number (EIN), and/or Taxpayer ID (if sole proprietorship);
- Have any other state or local licenses or certifications necessary to provide the services requested (e.g., facility licensing by the Department of Health Care Services), if applicable; and
- Have a physical address.

In the table below, provide the name of the Grantee and list all contracted parties.

(Page 2 of 2)

**Grantee Name:**

| Name of Contracted Party | Address | Email / Phone | Meets All Requirements                                   |
|--------------------------|---------|---------------|--|
|                          |         |               | Yes <input type="checkbox"/> No <input type="checkbox"/> |
|                          |         |               | Yes <input type="checkbox"/> No <input type="checkbox"/> |
|                          |         |               | Yes <input type="checkbox"/> No <input type="checkbox"/> |
|                          |         |               | Yes <input type="checkbox"/> No <input type="checkbox"/> |

Grantees are required to update this list and submit it to the BSCC any time a new third-party contract is executed after the initial assurance date. Grantees shall retain (on-site) applicable source documentation for each contracted party that verifies compliance with the requirements listed in the CESF RFP. These records will be subject to the records and retention language found in Appendices A and C of the Standard Agreement.

Unless prior approval is obtained, the BSCC prohibits disbursement or reimbursement to any NGO that does not meet the requirements listed above and for which the BSCC does not have a signed grantee assurance on file.

**A signature below is an assurance that all requirements listed above have been met.**

| <b>AUTHORIZED SIGNATURE</b><br><b>(This document must be signed by the person who is authorized to sign the Grant Agreement.)</b>   |       |       |           |
|---|-------|-------|-----------|
| NAME OF AUTHORIZED OFFICER  | TITLE |       | TELEPHONE |
| STREET ADDRESS  | CITY  | STATE | ZIP CODE  |
| EMAIL ADDRESS   |       |       |           |
| SIGNATURE (This document must be signed by the person who is authorized to sign the Grant Agreement. The authorized signatory may sign with a digital signature <u>OR</u> a wet blue ink signature.)<br><br>x |       |       | DATE      |

## Appendix D: CESF Local Advisory Committee Membership Roster

At a minimum the CESF Local Advisory Committee should include representatives from non-governmental community-based organizations, Tribes, and cities within the county that are impacted by the proposal (Page 5). Please list the members of the CESF Local Advisory Committee that are responsible for the development, implementation, and oversight of the proposed project in the below table. Include a name, title, organization, email address and signature (e-signatures are acceptable). This document shall be considered public record, do not include confidential information.

| *  | Name | Title        | Business Email Address | Signature |
|----|------|--------------|------------------------|-----------|
|    |      | Organization |                        |           |
| 1  |      |              |                        |           |
| 2  |      |              |                        |           |
| 3  |      |              |                        |           |
| 4  |      |              |                        |           |
| 5  |      |              |                        |           |
| 6  |      |              |                        |           |
| 7  |      |              |                        |           |
| 8  |      |              |                        |           |
| 9  |      |              |                        |           |
| 10 |      |              |                        |           |

*\*If needed, add additional rows to reflect the full CESF Local Advisory Committee*

## Appendix E: Project Work Plan

This Project Work Plan identifies measurable goals and objectives, activities and services, the responsible parties and a timeline. Completed plans should (1) identify the project's **top goals and objectives** (minimum of two); (2) identify how the top goals will be achieved in terms of the activities, responsible staff/partners, and start and end dates; and (3) provide goals and objectives with a clear relationship to the need and intent of the grant.

|   |                            |            |          |
|---|----------------------------|------------|----------|
| <b>(1) Goal:</b>  |                            |            |          |
| Objectives (A., B., etc.)   | A.<br>B.<br>C.             |            |          |
| Project activities that support the identified goal and objectives: | Responsible staff/partners | Timeline   |          |
|   |                            | Start Date | End Date |
| 1.<br>2.<br>3.  |                            |            |          |

|   |                            |            |          |
|---|----------------------------|------------|----------|
| <b>(2) Goal:</b>  |                            |            |          |
| Objectives (A., B., etc.)   | A.<br>B.<br>C.             |            |          |
| Project activities that support the identified goal and objectives: | Responsible staff/partners | Timeline   |          |
|   |                            | Start Date | End Date |
| 1.<br>2.<br>3.  |                            |            |          |

|   |                            |            |          |
|---|----------------------------|------------|----------|
| <b>(3) Goal:</b>  |                            |            |          |
| Objectives (A., B., etc.)   | A.<br>B.<br>C.             |            |          |
| Project activities that support the identified goal and objectives: | Responsible staff/partners | Timeline   |          |
|   |                            | Start Date | End Date |
| 1.<br>2.<br>3.  |                            |            |          |

|   |                            |            |          |
|---|----------------------------|------------|----------|
| <b>(4) Goal:</b>  |                            |            |          |
| Objectives (A., B., etc.)   | A.<br>B.<br>C.             |            |          |
| Project activities that support the identified goal and objectives: | Responsible staff/partners | Timeline   |          |
|   |                            | Start Date | End Date |
| 1.<br>2.<br>3.  |                            |            |          |

## Appendix F: Glossary of Terms

### **Community-based Organization**

A community-based organization (CBO) is a nongovernmental organization that provides services to a community consisting of individuals, groups, or other organizations that constitute the local or community service population. In this Request for Applications, CBOs and nonprofit organizations are referred to as Non-Governmental Organizations (NGOs).

### **Evidence-Informed Principles**

During the past two decades, there has been renewed interest in examining correctional research. These efforts have been led by researchers such as Gendreau, Andrews, Cullen, Lipsey and others<sup>3</sup>. Much evidence has been generated, leading to the conclusion that many rehabilitation programs have, in fact, produced significant reductions in recidivism. The next critical issue became the identification of those characteristics most commonly associated with effective programs. Through the work of numerous scholars (Andrews et al., 1990<sup>4</sup>; Cullen and Gendreau, 2000<sup>5</sup>; Lipsey 1999<sup>6</sup>, several “principles of effective intervention” have been identified. These principles can be briefly categorized as the following:

- Assess Actuarial Risk/Needs
- Enhance Intrinsic Motivation
- Target Interventions
  - Risk Principle
  - Need Principle
  - Responsivity Principle
  - Dosage
  - Treatment Principle
- Skill Train with Directed Practice
- Increase Positive Reinforcement
- Engage Ongoing Support in Natural Communities
- Measure Relevant Processes/Practices
- Provide Measurement Feedback

### **Goal versus Objective**

Goals and objectives are terms in common use, sometimes used interchangeably because both refer to the intended results of program activities. Goals are longer-term than objectives, more broadly stated and govern the specific objectives to which program activities are directed. In proposals, goals are defined by broad statements of what the

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<sup>3</sup> For a thorough review of this research, see Cullen, F.T. and B.K. Applegate. 1998. *Offender rehabilitation: Effective correctional intervention*. Brookfield, Vt.: Ashgate Dartmouth.

<sup>4</sup> Andrews, D.A., I. Zinger, R.D. Hoge, J. Bonta, P. Gendreau and F.T. Cullen. 1990. Does correctional treatment work? A clinically relevant and psychologically informed meta-analysis. *Criminology* 28(3):369-404

<sup>5</sup> Cullen, F.T. and P. Gendreau. 2000. Assessing correctional rehabilitation: Policy, practice, and prospects. In *Criminal justice 2000: Volume 3 – Policies, processes, and decisions of the criminal justice system*, ed. J. Horney, 109-175. Washington, D.C.: U.S. Department of Justice, National Institute of Justice.

<sup>6</sup> Lipsey, M.W. 1999. Can intervention rehabilitate serious delinquents? *The Annals of the American Academy of Political and Social Science*, 564(2):142-166.

program intends to accomplish, representing the long-term intended outcome of the program<sup>7</sup>.

Examples of goal statements:

- To reduce the number of serious and chronic juvenile offenders
- To divert youth who commit nonviolent offenses from state correctional institutions
- To restore the losses suffered by the victims of crimes

Objectives are defined by statements of specific, measurable aims of program activities<sup>8</sup>. Objectives detail the tasks that must be completed to achieve goals. Descriptions of objectives in the proposals should include three elements:

- 1) Direction – the expected change or accomplishment (e.g., improve, maintain)
- 2) Timeframe – when the objective will be achieved
- 3) Target Population– who is affected by the objective

Examples of program objectives:

- By the end of the program, drug-addicted juveniles will recognize the long-term consequences of drug use.
- To place eligible youth in an intensive supervision program within two weeks of adjudication to ensure offender accountability and community safety.
- To ensure that offenders carry out all the terms of the mediation agreements that they have worked out with their victims by program completion

## **Re-entry**

Release from a custodial setting (e.g. jail, prison, etc.) back into the community

## **RFA**

Request for Applications

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<sup>7</sup> Justice Research and Statistics Association, Juvenile Justice Evaluation Center. (2003, June). Juvenile Justice Program Evaluation: An overview (Second Edition). Retrieved from [www.jrsa.org/pubs/juv-justice/program-evaluation.pdf](http://www.jrsa.org/pubs/juv-justice/program-evaluation.pdf). See also New York State Division of Criminal Justice Services. A Guide to Developing Goals and Objectives for Your Program. Retrieved from <http://www.criminaljustice.ny.gov/ofpa/goalwrite.htm>.

<sup>8</sup> National Center for Justice Planning. Overview of Strategic Planning. Where Do We Want to Be? Goals and Objectives. Retrieved from <http://ncjp.org/strategic-planning/overview/where-do-we-want-be/goals-objectives>.



## Appendix G: Sample Grant Agreement

STATE OF CALIFORNIA DEPARTMENT OF GENERAL SERVICES

SCO ID: 5227-BSCCXXX20

**STANDARD AGREEMENT**  
STD 213 (Rev 03/2019)

|  |
|--|
| AGREEMENT NUMBER<br><b>BSCC XXX-20</b> |
|--|

|   |
|---|
| PURCHASING AUTHORITY NUMBER (If Applicable) |
|---|

1. This Agreement is entered into between the Contracting Agency and the Contractor named below:

CONTRACTING AGENCY NAME

**BOARD OF STATE AND COMMUNITY CORRECTIONS**

CONTRACTOR NAME

**GRANTEE NAME**

2. The term of this Agreement is:

START DATE

**MARCH 31, 2021**

THROUGH END DATE

**JANUARY 31, 2022**

3. The maximum amount of this Agreement is:

**\$XXX,XXX**

4. The parties agree to comply with the terms and conditions of the following exhibits, attachments, and appendices which are by this reference made a part of the Agreement.

| EXHIBITS     | TITLE  | PAGES |
|--------------|--|-------|
| Exhibit A    | Scope of Work  | 3     |
| Exhibit B    | Budget Detail and Payment Provisions                                 | 2     |
| Exhibit C    | General Terms and Conditions (04/2017)                               | 3     |
| Exhibit D    | Special Terms and Conditions   | 3     |
| Exhibit E    | Coronavirus Emergency Supplemental Funding (CESF) Federal Conditions | 13    |
| Attachment 1 | 2020 CESF Request for Applications                                   | *     |
| Attachment 2 | 2020 CESF Grant Application  | XX    |
| Attachment 3 | 2020 Coronavirus Emergency Supplemental Funding Program Solicitation | *     |


*\*Items shown with an asterisk (\*), are hereby incorporated by reference and made part of this agreement as if attached hereto. These documents can be viewed at: [2020 BJA CESF Program Solicitation](#)*

**IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO.**

### CONTRACTOR

CONTRACTOR NAME (if other than an individual, state whether a corporation, partnership, etc.)

**GRANTEE NAME**

|  |             |       |     |
|--|-------------|-------|-----|
| CONTRACTOR BUSINESS ADDRESS  | CITY        | STATE | ZIP |
| xxx  | xxx         | xx    | xxx |
| PRINTED NAME OF PERSON SIGNING   | TITLE       |       |     |
| xxx  | xxx         |       |     |
| CONTRACTOR AUTHORIZED SIGNATURE  | DATE SIGNED |       |     |
|  |             |       |     |

### STATE OF CALIFORNIA

CONTRACTING AGENCY NAME

**BOARD OF STATE AND COMMUNITY CORRECTIONS**

|  |                 |       |       |
|--|-----------------|-------|-------|
| CONTRACTING AGENCY ADDRESS   | CITY            | STATE | ZIP   |
| 2590 Venture Oaks Way, Suite 200   | Sacramento      | CA    | 95833 |
| PRINTED NAME OF PERSON SIGNING   | TITLE           |       |       |
| RICARDO GOODRIDGE  | Deputy Director |       |       |
| CONTRACTING AGENCY AUTHORIZED SIGNATURE  | DATE SIGNED     |       |       |
|  |                 |       |       |

CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL: EXEMPT PER SCM, VOLUME 1, CH. 4.06

## EXHIBIT A: SCOPE OF WORK

### 1. GRANT AGREEMENT – CORONAVIRUS EMERGENCY SUPPLEMENTAL FUNDING PROGRAM (CESF)

This Grant Agreement is between the State of California Board of State and Community Corrections, hereafter referred to as BSCC and **Grantee Name** hereafter referred to as Grantee or Contractor.

### 2. PROJECT SUMMARY AND ADMINISTRATION

A. Project summary here

B. Grantee agrees to administer the project in accordance with Attachment 1: 2020 CESF Request for Applications (incorporated by reference), Attachment 2: 2020 CESF Grant Application, and Attachment 3: 2020 Coronavirus Emergency Supplemental Funding Program Solicitation.

### 3. PROJECT OFFICIALS

A. The BSCC's Executive Director or designee shall be the BSCC's representative for administration of the Grant Agreement and shall have authority to make determinations relating to any controversies that may arise under or regarding the interpretation, performance, or payment for work performed under this Grant Agreement.

B. The Grantee project officials shall be those identified as follows:

**Authorized Officer** with legal authority to sign:

Name:  
Title:  
Phone:

**Designated Financial Officer** authorized to receive warrants:

Name:  
Title:  
Phone:  
Email:

**Project Director** authorized to administer the project:

Name:  
Title:  
Phone:  
Email:

C. Either party may change its project representatives upon written notice to the other party.

D. By signing this Grant Agreement, the Authorized Officer listed above warrants that he or she has full legal authority to bind the entity for which he or she signs.

### 4. DATA COLLECTION

Grantees will be required to comply with all data collection and reporting requirements as described in Attachment 1: 2020 Coronavirus Emergency Supplemental Funding Program Solicitation.

### 5. REPORTING REQUIREMENTS

- A. Grantee will submit semi-annual progress reports in a format prescribed by the BSCC. These reports, which will describe progress made on program objectives and include required data, shall be submitted according to the following schedule:

**Semi-Annual Progress Report Periods**

1. March 31, 2021 to June 30, 2021
2. July 1, 2021 to December 31, 2021
3. January 1, 2022 to January 31, 2022

**Due no later than:**

- July 15, 2021  
January 15, 2022  
February 15, 2022

**6. PROJECT RECORDS**

- A. The Grantee shall establish an official file for the project that contains adequate documentation of all actions taken with respect to the project, including copies of this Grant Agreement, financial records, and required reports.
- B. The Grantee shall establish separate accounting records and maintain documents and other evidence sufficient to properly reflect the amount, receipt, and disposition of all project funds, including grant funds, any matching funds by the Grantee, and the total cost of the project. Source documentation includes copies of all awards, applications, approved modifications, financial records, and narrative reports.
- C. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under the grant, whether they are employed full-time or part-time. Time and effort reports are required for consultants (subcontractors).
- D. The grantee shall maintain documentation of donated goods and/or services, including the basis for valuation.
- E. Grantee agrees to protect records adequately from fire or other damage. When records are stored away from the Grantee's principal office, a written index of the location of records stored must be on hand and ready access must be assured.
- F. All Grantee records relevant to the project must be preserved a minimum of three (3) years after closeout of the grant project and shall be subject at all reasonable times to inspection, examination, monitoring, copying, excerpting, transcribing, and auditing by the BSCC or designees. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until the completion of the action and resolution of all issues which arise from it or until the end of the regular three-year period, whichever is later.

**7. CONFLICT OF INTEREST**

Each applicant should consider state and local conflict of interest laws when selecting members of the CESF Local Advisory Committee. Applicants are advised to check with local counsel about potential conflicts.

**8. AUDIT**

Grantee must submit an audit of expenditures within 120 days following the end of the grant period. Grantees may choose either a program-specific audit or a single federal audit. Federal guidelines allow grantees receiving \$750,000 or more in federal funds in a fiscal year to use their federal justice assistance grant funds to pay for the cost of the audit. Grantees falling below the \$750,000 threshold must use non-federal funds (i.e., match funds) to pay for audit costs. For purposes of this grant award, please check one of the boxes below to indicate the grantee's choice for meeting the audit requirement.

- In conformance with Federal Office of Management and Budget (OMB) CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and the California State Controller’s Accounting Standards and Procedures, Chapter 23, Grant Accounting Index, the identified grant will be included in the City/County Single Federal Audit Report, which will be submitted to the BSCC within the required timeframe of 120 days from the end of the grant period. NOTE: Should an extension be needed, please provide in advance of the deadline a written justification that indicates the reason(s) for the extension and the timeframe needed.

**OR**

- In conformance with Federal Office of Management and Budget (OMB) CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and the California State Controller’s Accounting Standards and Procedures Chapter 23, Grant Accounting Index, the grantee will provide a Program-Specific Final Audit Report to the BSCC within the required timeframe of 120 days from the end of the grant period.

**OR**

- In conformance with Federal Office of Management and Budget (OMB) CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, the non-governmental entity grantee **does not expend \$750,000 or more** in total federal awards during the fiscal year and is therefore, exempt from Federal audit requirements for this grant contract period. However, the entity understands that it must keep and maintain the grant records and make them available for review or audit by appropriate officials of the Federal agency, pass-through agency (i.e., the Board of State and Community Corrections) and Governmental Accountability Office.

**9. DATA UNIVERSAL NUMBERS SYSTEM (DUNS)**

The Contractor/grantee (entity entering into contract with the BSCC) must maintain active registration of their Data Universal Numbers System (DUNS) number, used for this Grant Agreement, throughout the term of the contract. An active DUNS number is also required to remain in compliance with the Federal Funding Accountability and Transparency Act (FFATA), a reporting tool for Federal prime awardees (i.e. prime contractors and prime grants recipients) use to capture and report subaward and executive compensation.

## EXHIBIT B: BUDGET AND PAYMENT DETAILS

### 1. STATEMENTS OF EXPENDITURES AND PAYMENT

- A. The Grantee shall be paid in one lump sum by submitting an invoice (Form 201) to the BSCC. Any interest earned on the account must be reported to the BSCC and may only be used for allowable expenses during the grant period. Grantee shall only use grant funds for allowable costs (see Exhibit B, "Project Costs") and shall provide statements of expenditures and supporting documentation to the BSCC upon request and on a quarterly basis as set forth in the schedule below.

**Quarterly Invoicing Periods:**

**Due no later than:**

- |   |                   |
|---|-------------------|
| 1. March 31, 2021 to June 30, 2021      | August 15, 2021   |
| 2. July 1, 2021 to September 30, 2021   | November 15, 2021 |
| 3. October 1, 2021 to December 31, 2021 | February 15, 2022 |
| 4. January 1, 2022 to January 31, 2022  | March 15, 2022    |

- B. All grant project expenditures must be incurred by the end of the grant project cycle, January 31, 2022, and included on the final statement of expenditures due March 15, 2022. Project costs incurred after January 31, 2022 will not be reimbursed/eligible for contribution.
- C. A statement of expenditures is due to the BSCC even if grant funds are not expended during the reporting period. Supporting documentation must be submitted for expenditures upon BSCC's request. All supporting documentation must be maintained by the grantee on site and be readily available for review during BSCC site visits.
- D. Any unspent funds remaining at the end of the agreement term, must be returned to the BSCC within 30 days of the end of the grant agreement.

### 2. GRANT AMOUNT AND LIMITATION

- A. In no event shall the BSCC be obligated to pay any amount in excess of the grant award. Grantee waives any and all claims against the BSCC and the State of California and the Federal Government on account of project costs that may exceed the sum of the grant award.
- B. Under no circumstance will a budget item change be authorized that would cause the project to exceed the amount of the grant award identified in this Grant Agreement.

### 3. BUDGET CONTINGENCY CLAUSE

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent year covered under this Grant Agreement does not appropriate funds for the purposes of this program, this Grant Agreement shall be of no further force and effect. In this event, the BSCC shall have no liability to pay any funds whatsoever to Grantee or to furnish any other considerations under this Agreement and Grantee shall not be obligated to perform any provisions of this Grant Agreement.
- B. This Grant Agreement is valid and enforceable only if sufficient funds are made available by the United States Congress and California Legislature. Grantee agrees that the BSCC's obligation to pay any sum to the Grantee under any provision of this agreement is contingent upon the availability of sufficient funds.

### 4. PROJECT COSTS

- A. Grantee is responsible for ensuring that actual expenditures are for eligible project costs. "Eligible" and "ineligible" project costs are set forth in the most current version of the BSCC Grant Administration Guide (currently the BSCC Grant Administration Guide July 2020)

including any updated version that may be posted during the term of the grant agreement, which can be found under Quick Links here:

[http://www.bscc.ca.gov/s\\_correctionsplanningandprograms.php](http://www.bscc.ca.gov/s_correctionsplanningandprograms.php)

The provisions of the BSCC Grant Administration Guide are incorporated by reference into this agreement and Grantee shall be responsible for adhering to the requirements set forth therein. To the extent any of the provisions of the BSCC Grant Administration Guide and this agreement conflict, the language in this agreement shall prevail.

- B. Grantee shall, upon demand, remit to the BSCC any grant funds not expended for eligible project costs or an amount equal to any grant funds expended by the Grantee in violation of the terms, provisions, conditions or commitments of this Grant Agreement.
- C. Grantee is responsible for ensuring that statements of expenditures submitted to the BSCC claim actual expenditures for eligible project costs.
- D. Grant funds must be used to supplement existing funds for program activities and may not replace (supplant) non-state/state grant funds that have been appropriated for the same purpose. Potential supplanting will be the subject of grant monitoring. Violations can result in a range of penalties (e.g., recoupment of monies provided under this grant, suspension of future program funding through BSCC grants, and civil/criminal penalties).

**5. PROMPT PAYMENT CLAUSE**

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

**6. PROJECT BUDGET**

| LINE ITEM  | GRANT FUNDS |
|--|-------------|
| 1. Salaries and Benefits                               | <b>\$0</b>  |
| 2. Services and Supplies                               | <b>\$0</b>  |
| 3. Professional Services or Public Agency Subcontracts | <b>\$0</b>  |
| 4. Non-Governmental Organization (NGO) Subcontracts    | <b>\$0</b>  |
| 5. Equipment/Fixed Assets                              | <b>\$0</b>  |
| 6. Other (Travel, Training, etc.)                      | <b>\$0</b>  |
| 7. Indirect Costs                                      | <b>\$0</b>  |
| <b>TOTAL</b>   | <b>\$0</b>  |

## EXHIBIT C: GENERAL TERMS AND CONDITIONS (GTC 04/2017)

1. **APPROVAL:** This Agreement is of no force or effect until signed by both parties and approved by the Department of General Services, if required. Contractor may not commence performance until such approval has been obtained.
2. **AMENDMENT:** No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or Agreement not incorporated in the Agreement is binding on any of the parties.
3. **ASSIGNMENT:** This Agreement is not assignable by the Contractor, either in whole or in part, without the consent of the State in the form of a formal written amendment.
4. **AUDIT:** Contractor agrees that the awarding department, the Department of General Services, the Bureau of State Audits, or their designated representative shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. Contractor agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. Contractor agrees to allow the auditor(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Agreement. (Gov. Code §8546.7, Pub. Contract Code §10115 et seq., CCR Title 2, Section 1896).
5. **INDEMNIFICATION:** Contractor agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Contractor in the performance of this Agreement.
6. **DISPUTES:** Contractor shall continue with the responsibilities under this Agreement during any dispute.
7. **TERMINATION FOR CAUSE:** The State may terminate this Agreement and be relieved of any payments should the Contractor fail to perform the requirements of this Agreement at the time and in the manner herein provided. In the event of such termination the State may proceed with the work in any manner deemed proper by the State. All costs to the State shall be deducted from any sum due the Contractor under this Agreement and the balance, if any, shall be paid to the Contractor upon demand.
8. **INDEPENDENT CONTRACTOR:** Contractor, and the agents and employees of Contractor, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State.
9. **RECYCLING CERTIFICATION:** The Contractor shall certify in writing under penalty of perjury, the minimum, if not exact, percentage of post consumer material as defined in the Public Contract Code Section 12200, in products, materials, goods, or supplies offered or sold to the State regardless of whether the product meets the requirements of Public Contract Code Section 12209. With respect to printer or duplication cartridges that comply with the requirements of Section 12156(e), the certification required by this subdivision shall specify that the cartridges so comply (Pub. Contract Code §12205).
10. **NON-DISCRIMINATION CLAUSE:** During the performance of this Agreement, Contractor and its subcontractors shall not deny the contract's benefits to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual

orientation, or military and veteran status, nor shall they discriminate unlawfully against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status. Contractor shall insure that the evaluation and treatment of employees and applicants for employment are free of such discrimination. Contractor and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Gov. Code §12900 et seq.), the regulations promulgated thereunder (Cal. Code Regs., tit. 2, §11000 et seq.), the provisions of Article 9.5, Chapter 1, Part 1, Division 3, Title 2 of the Government Code (Gov. Code §§11135-11139.5), and the regulations or standards adopted by the awarding state agency to implement such article. Contractor shall permit access by representatives of the Department of Fair Employment and Housing and the awarding state agency upon reasonable notice at any time during the normal business hours, but in no case less than 24 hours' notice, to such of its books, records, accounts, and all other sources of information and its facilities as said Department or Agency shall require to ascertain compliance with this clause. Contractor and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement. (See Cal. Code Regs., tit. 2, §11105.)

Contractor shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Agreement.

- 11. CERTIFICATION CLAUSES:** The CONTRACTOR CERTIFICATION CLAUSES contained in the document CCC 04/2017 (<http://www.dgs.ca.gov/ols/Resources/StandardContractLanguage.aspx>) are hereby incorporated by reference and made a part of this Agreement by this reference as if attached hereto.
- 12. TIMELINESS:** Time is of the essence in this Agreement.
- 13. COMPENSATION:** The consideration to be paid Contractor, as provided herein, shall be in compensation for all of Contractor's expenses incurred in the performance hereof, including travel, per diem, and taxes, unless otherwise expressly so provided.
- 14. GOVERNING LAW:** This contract is governed by and shall be interpreted in accordance with the laws of the State of California.
- 15. ANTITRUST CLAIMS:** The Contractor by signing this agreement hereby certifies that if these services or goods are obtained by means of a competitive bid, the Contractor shall comply with the requirements of the Government Codes Sections set out below.
- A. The Government Code Chapter on Antitrust claims contains the following definitions:
- 1) "Public purchase" means a purchase by means of competitive bids of goods, services, or materials by the State or any of its political subdivisions or public agencies on whose behalf the Attorney General may bring an action pursuant to subdivision (c) of Section 16750 of the Business and Professions Code.
  - 2) "Public purchasing body" means the State or the subdivision or agency making a public purchase. Government Code Section 4550.
- B. In submitting a bid to a public purchasing body, the bidder offers and agrees that if the bid is accepted, it will assign to the purchasing body all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act (Chapter 2 (commencing with Section 16700) of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of goods, materials, or services by the bidder for sale to the purchasing body pursuant to the bid. Such assignment shall be made and become effective at the time the purchasing body tenders final payment to the bidder. Government Code Section 4552.



- C. If an awarding body or public purchasing body receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the bid price, less the expenses incurred in obtaining that portion of the recovery. Government Code Section 4553.
- D. Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured by the violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action. See Government Code Section 4554.

**16. CHILD SUPPORT COMPLIANCE ACT:** For any Agreement in excess of \$100,000, the contractor acknowledges in accordance with Public Contract Code 7110, that:

- A. The contractor recognizes the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with section 5200) of Part 5 of Division 9 of the Family Code; and
- B. The contractor, to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.

**17. UNENFORCEABLE PROVISION:** In the event that any provision of this Agreement is unenforceable or held to be unenforceable, then the parties agree that all other provisions of this Agreement have force and effect and shall not be affected thereby.

**18. PRIORITY HIRING CONSIDERATIONS:** If this Contract includes services in excess of \$200,000, the Contractor shall give priority consideration in filling vacancies in positions funded by the Contract to qualified recipients of aid under Welfare and Institutions Code Section 11200 in accordance with Pub. Contract Code §10353.

**19. SMALL BUSINESS PARTICIPATION AND DVBE PARTICIPATION REPORTING REQUIREMENTS:**

- A. If for this Contract Contractor made a commitment to achieve small business participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) report to the awarding department the actual percentage of small business participation that was achieved. (Govt. Code § 14841.)
- B. If for this Contract Contractor made a commitment to achieve disabled veteran business enterprise (DVBE) participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) certify in a report to the awarding department: (1) the total amount the prime Contractor received under the Contract; (2) the name and address of the DVBE(s) that participated in the performance of the Contract; (3) the amount each DVBE received from the prime Contractor; (4) that all payments under the Contract have been made to the DVBE; and (5) the actual percentage of DVBE participation that was achieved. A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation. (Mil. & Vets. Code § 999.5(d); Govt. Code § 14841.)

**20. LOSS LEADER:** If this contract involves the furnishing of equipment, materials, or supplies then the following statement is incorporated: It is unlawful for any person engaged in business within this state to sell or use any article or product as a "loss leader" as defined in Section 17030 of the Business and Professions Code. (PCC 10344(e).)

## EXHIBIT D: SPECIAL TERMS AND CONDITIONS

### 1. GRANTEE'S GENERAL RESPONSIBILITY

Grantee agrees to comply with all terms and conditions of this Grant Agreement. Review and approval by the BSCC is solely for the purpose of proper administration of grant funds, and shall not be deemed to relieve or restrict the Grantee's responsibility.

### 2. GRANTEE ASSURANCES AND COMMITMENTS

#### A. Compliance with Laws and Regulations

This Grant Agreement is governed by and shall be interpreted in accordance with the laws of the State of California. Grantee shall at all times comply with all applicable state laws, rules and regulations, and all applicable local ordinances

#### B. Compliance with Federal Laws and Regulations

The Grantee hereby assures and certifies compliance with all federal statutes, regulations, policies, guidelines and requirements, including the Federal Award Conditions, which are included in this Grant Agreement as Exhibit E.

#### C. Permits and Licenses

Grantee agrees to procure all permits and licenses necessary to complete the project, pay all charges and fees, and give all notices necessary or incidental to the due and lawful proceeding of the project work.

### 3. POTENTIAL SUBCONTRACTORS

A. In accordance with the provisions of this Grant Agreement, the Grantee may subcontract with providers for services needed to implement and/or support program activities. Grantee agrees that in the event of any inconsistency between this Grant Agreement and Grantee's agreement with a subcontractor, the language of this Grant Agreement will prevail.

B. Nothing contained in this Grant Agreement, or otherwise, shall create any contractual relation between the BSCC and any subcontractors, and no subcontract shall relieve the Grantee of its responsibilities and obligations hereunder. The Grantee agrees to be as fully responsible to the BSCC for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Grantee. The Grantee's obligation to pay its subcontractors is an independent obligation from the BSCC's obligation to make payments to the Grantee. As a result, the BSCC shall have no obligation to pay or to enforce the payment of any monies to any subcontractor.

C. Grantee shall ensure that all subcontractors comply with all requirements of this Grant Agreement.

D. Grantee assures that for any subcontract awarded by the Grantee, such as insurance and fidelity bonds, as is customary and appropriate, will be obtained.

E. Grantee agrees to place appropriate language in all subcontracts for work on the project requiring the Grantee's subcontractors to:

#### 1) Books and Records

Maintain adequate fiscal and project books, records, documents, and other evidence pertinent to the subcontractor's work on the project in accordance with generally accepted accounting principles. Adequate supporting documentation shall be maintained in such detail so as to permit tracing transactions from the invoices, to the accounting records, to

the supporting documentation. These records shall be maintained for a minimum of three (3) years after the acceptance of the project's final audit of expenditures under the Grant Agreement, and shall be subject to examination and/or audit by the BSCC or designees, state government auditors or designees.

2) Access to Books and Records

Make such books, records, supporting documentations, and other evidence available to the BSCC or designee, the Department of General Services, the Department of Finance, the California State Auditor and their designated representatives during the course of the project and for a minimum of three (3) years after acceptance of the project's final audit of expenditures. The Subcontractor shall provide suitable facilities for access, monitoring, inspection, and copying of books and records related to the grant-funded project.

#### 4. PROJECT ACCESS

Grantee shall ensure that the BSCC, or any authorized representative, will have suitable access to project activities, sites, staff and documents at all reasonable times during the grant period including those maintained by subcontractors. Access to program records will be made available by both the grantee and the subcontractors for a period of 3 years following the end of the project period.

#### 5. ACCOUNTING AND AUDIT REQUIREMENTS

- A. All funds received by the Grantee shall be deposited into separate fund accounts which identify the funds and clearly show the manner of their disposition. Grantee agrees that accounting procedures for grant funds received pursuant to this Grant Agreement shall be in accordance with generally accepted government accounting principles and practices, and adequate supporting documentation shall be maintained in such detail as to provide an audit trail. Supporting documentation shall permit the tracing of transactions from such documents to relevant accounting records, financial reports and invoices.
- B. Federal Audit Requirement: Grantee is required to complete an audit annually for each fiscal year/audit period, or fraction thereof, for the entire three-year grant cycle. See Exhibit A: Scope of Work, Section 7. Audit, for federal audit requirements.
- C. The BSCC reserves the right to call for a program or financial audit at any time between the execution of this Grant Agreement and three years following the end of the grant period. At any time, the BSCC may disallow all or part of the cost of the activity or action determined to not be in compliance with the terms and conditions of this Grant Agreement or take other remedies legally available.

#### 6. DEBARMENT, FRAUD, THEFT OR EMBEZZLEMENT

It is the policy of the BSCC to protect grant funds from unreasonable risks of fraudulent, criminal, or other improper use. As such, the Board will not enter into contracts or provide reimbursement to grantees that have been:

- 1) debarred by any federal, state, or local government entities during the period of debarment; or
- 2) convicted of fraud, theft, or embezzlement of federal, state, or local government grant funds for a period of three years following conviction.

Furthermore, the BSCC requires grant recipients to provide an assurance that there has been no applicable debarment, disqualification, suspension, or removal from a federal, state or local grant program on the part of the grantee at the time of application and that the grantee will immediately notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

BSCC also requires that all grant recipients include, as a condition of award to a subgrantee or subcontractor, a requirement that the subgrantee or subcontractor will provide the same assurances to the grant recipient. If a grant recipient wishes to consider a subgrantee or subcontractor that has been debarred or convicted, the grant recipient must submit a written request for exception to the BSCC along with supporting documentation.

All Grantees must have on file with the BSCC a completed and signed Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft and Embezzlement.

## **7. MODIFICATIONS**

No change or modification in the project will be permitted without prior written approval from the BSCC. Changes may include modification to project scope, changes to performance measures, compliance with collection of data elements, and other significant changes in the budget or program components contained in the 2020 CESF Request for Applications. Changes shall not be implemented by the project until authorized by the BSCC.

## **8. TERMINATION**

- A. This Grant Agreement may be terminated by the BSCC at any time after grant award and prior to completion of project upon action or inaction by the Grantee that constitutes a material and substantial breach of this Grant Agreement. Such action or inaction includes, but is not limited to:
- 1) substantial alteration of the scope of the grant project without prior written approval of the BSCC;
  - 2) refusal or inability to complete the grant project in a manner consistent with Attachment 1: 2020 CESF Request for Applications, Attachment 2: 2020 CESF Grant Application, Attachment 3: 2020 Coronavirus Emergency Supplemental Funding Program Solicitation; and
  - 3) failure to meet prescribed assurances, commitments, recording, accounting, auditing, and reporting requirements of the Grant Agreement.
- B. Prior to terminating the Grant Agreement under this provision, the BSCC shall provide the Grantee at least 30 calendar days written notice stating the reasons for termination and effective date thereof. The Grantee may appeal the termination decision in accordance with the instructions listed in Exhibit D: Special Terms and Conditions, Number 9. Settlement of Disputes.

## **9. SETTLEMENT OF DISPUTES**

- A. The parties shall deal in good faith and attempt to resolve potential disputes informally. If the dispute persists, the Grantee shall submit to the BSCC Corrections Planning and Programs Division Deputy Director a written demand for a final decision regarding the disposition of any dispute between the parties arising under, related to, or involving this Grant Agreement. Grantee's written demand shall be fully supported by factual information. The BSCC Corrections Planning and Programs Division Deputy Director shall have 30 days after receipt of Grantee's written demand invoking this Section "Disputes" to render a written decision. If a written decision is not rendered within 30 days after receipt of the Grantee's demand, it shall be deemed a decision adverse to the Grantee's contention. If the Grantee is not satisfied with the decision of the BSCC Corrections Planning and Programs Division Deputy Director, the Grantee may appeal the decision, in writing, within 15 days of its issuance (or the expiration of the 30 day period in the event no decision is rendered), to the BSCC Executive Director, who shall have 45 days to render a final decision. If the Grantee does not appeal the decision of the BSCC Corrections Planning and Programs Division Deputy Director, the decision shall be conclusive and binding regarding the dispute and the Contractor shall be barred from

commencing an action in court, or with the Victims Compensation Government Claims Board, for failure to exhaust Grantee's administrative remedies.

- B. Pending the final resolution of any dispute arising under, related to or involving this Grant Agreement, Grantee agrees to diligently proceed with the performance of this Grant Agreement, including the providing of services in accordance with the Grant Agreement. Grantee's failure to diligently proceed in accordance with the State's instructions regarding this Grant Agreement shall be considered a material breach of this Grant Agreement.
- C. Any final decision of the State shall be expressly identified as such, shall be in writing, and shall be signed by the Executive Director, if an appeal was made. If the Executive Director fails to render a final decision within 45 days after receipt of the Grantee's appeal for a final decision, it shall be deemed a final decision adverse to the Grantee's contentions. The State's final decision shall be conclusive and binding regarding the dispute unless the Grantee commences an action in a court of competent jurisdiction to contest such decision within 90 days following the date of the final decision or one (1) year following the accrual of the cause of action, whichever is later.
- D. The dates of decision and appeal in this section may be modified by mutual consent, as applicable, excepting the time to commence an action in a court of competent jurisdiction.

#### **10. WAIVER**

The parties hereto may waive any of their rights under this Grant Agreement unless such waiver is contrary to law, provided that any such waiver shall be in writing and signed by the party making such waiver.

SAMPLE  
GRANT  
AGREEMENT

## EXHIBIT E: CORONAVIRUS EMERGENCY SUPPLEMENTAL FUNDING 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 assurances or certifications 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.

Limited Exceptions. In certain special circumstances, the U.S. Department of Justice ("DOJ") may determine that it will not enforce, or enforce only in part, one or more requirements otherwise applicable to the award. Any such exceptions regarding enforcement, including any such exceptions made during the period of performance, are (or will be during the period of performance) set out through the Office of Justice Programs ("OJP") webpage entitled "Legal Notices: Special circumstances as to particular award conditions" (<https://ojp.gov/funding/Explore/LegalNotices-AwardReqs.htm>), and incorporated by reference into the award.

By signing and accepting this award on behalf of the recipient, the authorized recipient official accepts all material requirements of the award, and specifically adopts, as if personally executed by the authorized recipient official, all assurances or certifications submitted by or on behalf of the recipient that relate to conduct during the period of performance.

Failure to comply with one or more award requirements -- whether a condition set out in full below, a condition incorporated by reference below, or an assurance or certification related to conduct during the award period -- may result in 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. 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 2020 award from OJP.

The Part 200 Uniform Requirements were first adopted by DOJ on December 26, 2014. If this FY 2020 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 2020 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.

### 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 (that is, moved and renumbered) 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, 2018, 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, 2018, 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](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.

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/](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](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. Employment eligibility verification for hiring under the award

1. The recipient (and any subrecipient at any tier) must--

A. Ensure that, as part of the hiring process for any position within the United States that is or will be funded (in whole or in part) with award funds, the recipient (or any subrecipient) properly verifies the employment eligibility of the individual who is being hired, consistent with the provisions of 8 U.S.C. 1324a(a)(1).

B. Notify all persons associated with the recipient (or any subrecipient) who are or will be involved in activities under this award of both—

(1) this award requirement for verification of employment eligibility, and



(2) the associated provisions in 8 U.S.C. 1324a(a)(1) that, generally speaking, make it unlawful, in the United States, to hire (or recruit for employment) certain aliens.

C. Provide training (to the extent necessary) to those persons required by this condition to be notified of the award requirement for employment eligibility verification and of the associated provisions of 8 U.S.C. 1324a(a)(1).

D. As part of the recordkeeping for the award (including pursuant to the Part 200 Uniform Requirements), maintain records of all employment eligibility verifications pertinent to compliance with this award condition in accordance with Form I-9 record retention requirements, as well as records of all pertinent notifications and trainings.

## 2. Monitoring

The recipient's monitoring responsibilities include monitoring of subrecipient compliance with this condition.

## 3. Allowable costs

To the extent that such costs are not reimbursed under any other federal program, award funds may be obligated for the reasonable, necessary, and allocable costs (if any) of actions designed to ensure compliance with this condition.

## 4. Rules of construction

### A. Staff involved in the hiring process

For purposes of this condition, persons "who are or will be involved in activities under this award" specifically includes (without limitation) any and all recipient (or any subrecipient) officials or other staff who are or will be involved in the hiring process with respect to a position that is or will be funded (in whole or in part) with award funds.

### B. Employment eligibility confirmation with E-Verify

For purposes of satisfying the requirement of this condition regarding verification of employment eligibility, the recipient (or any subrecipient) may choose to participate in, and use, E-Verify ([www.e-verify.gov](http://www.e-verify.gov)), provided an appropriate person authorized to act on behalf of the recipient (or subrecipient) uses E-Verify (and follows the proper E-Verify procedures, including in the event of a "Tentative Nonconfirmation" or a "Final Nonconfirmation") to confirm employment eligibility for each hiring for a position in the United States that is or will be funded (in whole or in part) with award funds.

C. "United States" specifically includes the District of Columbia, Puerto Rico, Guam, the Virgin Islands of the United States, and the Commonwealth of the Northern Mariana Islands.

D. Nothing in this condition shall be understood to authorize or require any recipient, any subrecipient at any tier, or any person or other entity, to violate any federal law, including any applicable civil rights or nondiscrimination law.

E. Nothing in this condition, including in paragraph 4.B., shall be understood to relieve any recipient, any subrecipient at any tier, or any person or other entity, of any obligation otherwise imposed by law, including 8 U.S.C. 1324a(a)(1) and (2).

Questions about E-Verify should be directed to DHS. For more information about E-Verify visit the E-Verify [website \(https://www.e-verify.gov/\)](https://www.e-verify.gov/) or email E-Verify at [E-Verify@dhs.gov](mailto:E-Verify@dhs.gov). E-Verify employer agents can email E-Verify at [E-VerifyEmployerAgent@dhs.gov](mailto:E-VerifyEmployerAgent@dhs.gov).

Questions about the meaning or scope of this condition should be directed to OJP, before award acceptance.

## 10. 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.

11. 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.

12. Specific post-award approval required to use a noncompetitive approach in any procurement contract that would exceed \$250,000

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, \$250,000). 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 \$250,000)), and are incorporated by reference here.

13. Unreasonable restrictions on competition under the award; association with federal government

SCOPE. This condition applies with respect to any procurement of property or services that is funded (in whole or in part) by this award, whether by the recipient or by any subrecipient at any tier, and regardless of the dollar amount of the purchase or acquisition, the method of procurement, or the nature of any legal instrument used. The provisions of this condition must be among those included in any subaward (at any tier).

1. No discrimination, in procurement transactions, against associates of the federal government

Consistent with the (DOJ) Part 200 Uniform Requirements -- including as set out at 2 C.F.R. 200.300 (requiring awards to be "manage[d] and administer[ed] in a manner so as to ensure that Federal funding is expended and associated programs are implemented in full accordance with U.S. statutory and public policy requirements") and 200.319(a) (generally requiring "[a]ll procurement transactions [to] be conducted in a manner providing full and open competition" and forbidding practices "restrictive of competition," such as "[p]lacing unreasonable requirements on firms in order for them to qualify to do business" and taking "[a]ny arbitrary action in the procurement process") -- no recipient (or subrecipient, at any tier)

may (in any procurement transaction) discriminate against any person or entity on the basis of such person or entity's status as an "associate of the federal government" (or on the basis of such person or entity's status as a parent, affiliate, or subsidiary of such an associate), except as expressly set out in 2 C.F.R.

200.319(a) or as specifically authorized by USDOJ.

## 2. Monitoring

The recipient's monitoring responsibilities include monitoring of subrecipient compliance with this condition.

## 3. Allowable costs

To the extent that such costs are not reimbursed under any other federal program, award funds may be obligated for the reasonable, necessary, and allocable costs (if any) of actions designed to ensure compliance with this condition.

## 4. Rules of construction

A. The term "associate of the federal government" means any person or entity engaged or employed (in the past or at present) by or on behalf of the federal government -- as an employee, contractor or subcontractor (at any tier), grant recipient or -subrecipient (at any tier), agent, or otherwise -- in undertaking any work, project, or activity for or on behalf of (or in providing goods or services to or on behalf of) the federal government, and includes any applicant for such employment or engagement, and any person or entity committed by legal instrument to undertake any such work, project, or activity (or to provide such goods or services) in future.

B. Nothing in this condition shall be understood to authorize or require any recipient, any subrecipient at any tier, or any person or other entity, to violate any federal law, including any applicable civil rights or nondiscrimination law.

## 14. 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.

## 15. Determination of suitability to interact with participating minors

SCOPE. This condition applies to this award if it is indicated -- in the application for the award (as approved by DOJ)(or in the application for any subaward, at any tier), the DOJ funding announcement (solicitation), or an associated federal statute -- that a purpose of some or all of the activities to be carried out under the award (whether by the recipient, or a subrecipient at any tier) is to benefit a set of individuals under 18 years of age.

The recipient, and any subrecipient at any tier, must make determinations of suitability before certain individuals may interact with participating minors. This requirement applies regardless of an individual's employment status.

The details of this requirement are posted on the OJP web site at <https://ojp.gov/funding/Explore/Interact-Minors.htm> (Award condition: Determination of suitability required, in advance, for certain individuals who may interact with participating minors), and are incorporated by reference here.

16. 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").

17. 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.

18. 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>.

19. 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.

20. 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.

21. 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.

22. 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."

23. 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 (as may be applicable from time to time), specifically including any applicable requirements regarding written notice to program beneficiaries and prospective program beneficiaries.

Currently, 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, currently, 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 28 C.F.R. Part 38 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.

24. 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.

25. Compliance with general appropriations-law restrictions on the use of federal funds (FY 2020)

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 that may be set out in applicable appropriations acts are indicated at <https://ojp.gov/funding/Explore/FY20AppropriationsRestrictions.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.

26. Reporting potential fraud, waste, and abuse, and similar misconduct

The recipient, and any subrecipients ("subgrantees") at any tier, 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) online submission accessible via the OIG webpage at <https://oig.justice.gov/hotline/contact-grants.htm> (select "Submit Report Online"); (2) mail directed to: U.S. Department of Justice, Office of the Inspector General, Investigations Division, ATTN: Grantee Reporting, 950 Pennsylvania Ave., NW, Washington, DC 20530; and/or (3) by facsimile directed to the DOJ OIG Investigations Division (Attn: Grantee Reporting) at (202) 616-9881 (fax).

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

27. 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.

#### 28. 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.

#### 29. 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.

#### 30. 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](mailto: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.

#### 31. Signing Authority

This award must be signed by an authorized official of the applicant State, local, or tribal government, on behalf of that applicant State, unit of local government, or Tribe, unless the

applicant designates an organizational unit to apply on its behalf. For example, if designated by a unit of local government, a Police Department or Sheriff's Office (or similar agency) may apply on behalf of the applicant jurisdiction, as long as the department, office, or agency is listed as the organizational unit on the SF-424. In that case, the head of the designated organizational unit (such as a Police Chief or Sheriff) may sign the award. Documentation of the designation by the appropriate governing body must be retained by the grant recipient.

32. The "Emergency Appropriations for Coronavirus Health Response and Agency Operations" law (Public Law 116-136) includes definitions, reporting requirements, and certain other provisions that apply (whether in whole or in part) to this award. In addition, consistent with the CESF Program's purposes, which involve preparing for, preventing, and responding to the coronavirus national emergency, OJP will provide notice of any additional CESF program-specific grants administrative requirements on an award page, accessible at <https://www.ojp.gov/funding/explore/CESF-program-specific-condition>, that is incorporated by reference here.

33. The recipient agrees to comply with OJP grant monitoring guidelines, protocols, and procedures, and to cooperate with BJA and OCFO on all grant monitoring requests, including requests related to desk reviews, enhanced programmatic desk reviews, and/or site visits. The recipient agrees to provide to BJA and OCFO all documentation necessary to complete monitoring tasks, including documentation related to any subawards made under this award. Further, the recipient agrees to abide by reasonable deadlines set by BJA and OCFO for providing the requested documents. Failure to cooperate with BJA's/OCFO's grant monitoring activities may result in sanctions affecting the recipient's DOJ awards, including, but not limited to: withholdings and/or other restrictions on the recipient's access to grant funds; referral to the Office of the Inspector General for audit review; designation of the recipient as a DOJ High Risk grantee; or termination of an award(s).

34. 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).

35. Required monitoring of subawards

The recipient must monitor subawards under this award in accordance with all applicable statutes, regulations, award conditions, and the DOJ Grants Financial Guide, and must include the applicable conditions of this award in any subaward. Among other things, the recipient is responsible for oversight of subrecipient spending and monitoring of specific outcomes and benefits attributable to use of award funds by subrecipients. The recipient agrees to submit, upon request, documentation of its policies and procedures for monitoring of subawards under this award.

36. Use of program income



Program income (as defined in the Part 200 Uniform Requirements) must be used in accordance with the provisions of the Part 200 Uniform Requirements. Program income earnings and expenditures both must be reported on the quarterly Federal Financial Report, SF 425.

### 37. Justice Information Sharing

Recipients are encouraged to comply any information-sharing projects funded under this award with DOJ's Global Justice Information Sharing Initiative (Global) guidelines. The recipient (and any subrecipient at any tier) is encouraged to conform to the Global Standards Package (GSP) and all constituent elements, where applicable, as described at: [https://it.ojp.gov/gsp\\_grantcondition](https://it.ojp.gov/gsp_grantcondition). The recipient (and any subrecipient at any tier) must document planned approaches to information sharing and describe compliance with the GSP and appropriate privacy policy that protects shared information.

### 38. Avoidance of duplication of networks

To avoid duplicating existing networks or IT systems in any initiatives funded by BJA for law enforcement information sharing systems which involve interstate connectivity between jurisdictions, such systems shall employ, to the extent possible, existing networks as the communication backbone to achieve interstate connectivity.

### 39. Compliance with National Environmental Policy Act and related statutes

Upon request, the recipient (and any subrecipient at any tier) must assist BJA in complying with the National Environmental Policy Act (NEPA), the National Historic Preservation Act, and other related federal environmental impact analyses requirements in the use of these award funds, either directly by the recipient or by a subrecipient. Accordingly, the recipient agrees to first determine if any of the following activities will be funded by the grant, prior to obligating funds for any of these purposes. If it is determined that any of the following activities will be funded by the award, the recipient agrees to contact BJA. The recipient understands that this condition applies to new activities as set out below, whether or not they are being specifically funded with these award funds. That is, as long as the activity is being conducted by the recipient, a subrecipient, or any third party, and the activity needs to be undertaken in order to use these award funds, this condition must first be met. The activities covered by this condition are: a. New construction; b. Minor renovation or remodeling of a property located in an environmentally or historically sensitive area, including properties located within a 100-year flood plain, a wetland, or habitat for endangered species, or a property listed on or eligible for listing on the National Register of Historic Places; c. A renovation, lease, or any proposed use of a building or facility that will either (a) result in a change in its basic prior use or (b) significantly change its size; d. Implementation of a new program involving the use of chemicals other than chemicals that are (a) purchased as an incidental component of a funded activity and (b) traditionally used, for example, in office, household, recreational, or education environments; and e. Implementation of a program relating to clandestine methamphetamine laboratory operations, including the identification, seizure, or closure of clandestine methamphetamine laboratories.

The recipient understands and agrees that complying with NEPA may require the preparation of an Environmental Assessment and/ or an Environmental Impact Statement, as directed by BJA. The recipient further understands and agrees to the requirements for implementation of a Mitigation Plan, as detailed at <https://bja.gov/Funding/nepa.html>, for programs relating to methamphetamine laboratory operations. Application of This Condition to Recipient's Existing Programs or Activities: For any of the recipient's or its subrecipients' existing programs or activities that will be funded by these award funds, the recipient, upon specific request from BJA, agrees to cooperate with BJA in any preparation by BJA of a national or program environmental assessment of that funded program or activity.

#### 40. Establishment of interest-bearing account

If award funds are being drawn down in advance, the recipient (or a subrecipient, with respect to a subaward) is required to establish an interest-bearing account dedicated specifically to this award. Recipients (and subrecipients) must maintain advance payments of federal awards in interest-bearing accounts, unless regulatory exclusions apply (2

C.F.R. 200.305(b)(8)). The award funds, including any interest, may not be used to pay debts or expenses incurred by other activities beyond the scope of the Coronavirus Emergency Supplemental Funding (CESF) program. The recipient also agrees to obligate the award funds in the account (including any interest earned) during the period of performance for the award and expend within 90 days thereafter. Any unobligated or unexpended funds, including interest earned, must be returned to OJP at the time of closeout.

#### 41. Expenditures requiring prior approval

No funds under this award may be expended on individual items costing \$500,000 or more, or to purchase Unmanned Aerial Systems (UAS), Unmanned Aircraft (UA), and/or Unmanned Aerial Vehicles (UAV) without prior written approval from BJA. Prior approval must be obtained post-award, through the submission and approval of a Grant Adjustment Notice (GAN) through OJP's Grant Management System (GMS).

#### 42. Authorization to obligate (federal) award funds to reimburse certain project costs incurred on or after January 20, 2020

The recipient may obligate (federal) award funds only after the recipient makes a valid acceptance of the award. As of the first day of the period of performance for the award (January 20, 2020), however, the recipient may choose to incur project costs using non-federal funds, but any such project costs are incurred at the recipient's risk until, at a minimum - (1) the recipient makes a valid acceptance of the award, and (2) all applicable withholding conditions are removed by OJP (via a Grant Adjustment Notice). (A withholding condition is a condition in the award document that precludes the recipient from obligating, expending, or drawing down all or a portion of the award funds until the condition is removed.)

Nothing in this condition shall be understood to authorize the recipient (or any subrecipient at any tier) to use award funds to "supplant" State or local funds.

#### 43. Use of funds for DNA testing; upload of DNA profiles

If award funds are used for DNA testing of evidentiary materials, any resulting eligible DNA profiles must be uploaded to the Combined DNA Index System ("CODIS," the DNA database operated by the FBI) by a government DNA laboratory with access to CODIS. No profiles generated under this award may be entered or uploaded into any non- governmental DNA database without prior express written approval from BJA. Award funds may not be used for the purchase of DNA equipment and supplies unless the resulting DNA profiles may be accepted for entry into CODIS.

#### 44. Body armor - compliance with NIJ standards and other requirements

Ballistic-resistant and stab-resistant body armor purchased with award funds may be purchased at any threat level, make or model, from any distributor or manufacturer, as long as the body armor has been tested and found to comply with applicable National Institute of Justice ballistic or stab standards and is listed on the NIJ Compliant Body Armor Model List (<https://nij.gov/topics/technology/body-armor/Pages/compliant-ballistic-armor.aspx>). In addition, ballistic-resistant and stab-resistant body armor purchased must be made in the United States and must be uniquely fitted, as set forth in 34 U.S.C. 10202(c)(1)(A). The latest NIJ standard information can be found here: <https://nij.ojp.gov/topics/articles/body-armor-safety-initiative>.

45. Recipient integrity and performance matters: Requirement to report information on certain civil, criminal, and administrative proceedings to SAM and FAPIIS

The recipient must comply with any and all applicable requirements regarding reporting of information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either this OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. Under certain circumstances, recipients of OJP awards are required to report information about such proceedings, through the federal System for Award Management (known as "SAM"), to the designated federal integrity and performance system (currently, "FAPIIS").

The details of recipient obligations regarding the required reporting (and updating) of information on certain civil, criminal, and administrative proceedings to the federal designated integrity and performance system (currently, "FAPIIS") within SAM are posted on the OJP web site at <https://ojp.gov/funding/FAPIIS.htm> (Award condition: Recipient Integrity and Performance Matters, including Recipient Reporting to FAPIIS), and are incorporated by reference here.

46. Methods of Administration" - monitoring compliance with civil rights laws and nondiscrimination provisions

The recipient's monitoring responsibilities include monitoring of subrecipient compliance with applicable federal civil rights laws and nondiscrimination provisions. Within 90 days of the date of award acceptance, the recipient must submit to OJP's Office for Civil Rights (at [CivilRightsMOA@usdoj.gov](mailto:CivilRightsMOA@usdoj.gov)) written Methods of Administration ("MOA") for subrecipient monitoring with respect to civil rights requirements. In addition, upon request by OJP (or by another authorized federal agency), the recipient must make associated documentation available for review.

The details of the recipient's obligations related to Methods of Administration are posted on the OJP web site at <https://ojp.gov/funding/Explore/StateMethodsAdmin-FY2017update.htm> (Award condition: "Methods of Administration" - Requirements applicable to States (FY 2017 Update)), and are incorporated by reference here.

**Appendix H: Governing Board Resolution**

Before grant funds can be reimbursed, a grantee must either (1) submit a resolution from its Governing Board that delegates authority to the individual authorized to execute the grant agreement or (2) provide sufficient documentation indicating that the prospective grantee has been vested with plenary authority to execute grant agreements (e.g. County Board of Supervisors delegating such authority to an Agency head).

Below is assurance language that, at a minimum, must be included in the resolution submitted to the Board of State and Community Corrections.

---

WHEREAS the ***(insert name of Local Government)*** desires to participate in the Coronavirus Emergency Supplemental Funding (CESF) Program funded through the U.S. Department of Justice, Bureau of Justice Assistance and administered by the Board of State and Community Corrections (hereafter referred to as the BSCC).

NOW, THEREFORE, BE IT RESOLVED that the ***(insert title of designated official)*** be authorized on behalf of the ***(insert name of Governing Board)*** to submit the grant proposal for this funding and sign the Grant Agreement with the BSCC, including any amendments thereof.

BE IT FURTHER RESOLVED that grant funds received hereunder shall not be used to supplant expenditures controlled by this body.

BE IT FURTHER RESOLVED that the ***(insert name of Local Government)*** agrees to abide by the terms and conditions of the Grant Agreement as set forth by the BSCC.

Passed, approved, and adopted by the ***(insert name of Governing Board)*** in a meeting thereof held on ***(insert date)*** by the following:

Ayes:  
Notes:  
Absent:  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

ATTEST: Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

## Appendix I: Certification of Compliance with BSCC Policies on Debarment, Fraud, Theft and Embezzlement

(Page 1 of 2)

It is the policy of the BSCC to protect grant funds from unreasonable risks of fraudulent, criminal, or other improper use. As such, the Board will not enter into contracts or provide reimbursement to applicants that have been:

1. debarred by any federal, state, or local government entities during the period of debarment; or
2. convicted of fraud, theft, or embezzlement of federal, state, or local government grant funds for a period of three years following conviction.

Furthermore, the BSCC requires grant recipients to provide an assurance that there has been no applicable debarment, disqualification, suspension, or removal from a federal, state or local grant program on the part of the grantee at the time of application and that the grantee will immediately notify the BSCC should such debarment or conviction occur during the term of the Grant contract.

BSCC also requires that all grant recipients include, as a condition of award to a subgrantee or subcontractor, a requirement that the subgrantee or subcontractor will provide the same assurances to the grant recipient. If a grant recipient wishes to consider a subgrantee or subcontractor that has been debarred or convicted, the grant recipient must submit a written request for exception to the BSCC along with supporting documentation.

By checking the following boxes and signing below, applicant affirms that:

- I/We are not currently debarred by any federal, state, or local entity from applying for or receiving federal, state, or local grant funds.
- I/We have not been convicted of any crime involving theft, fraud, or embezzlement of federal, state, or local grant funds within the last three years. We will notify the BSCC should such debarment or conviction occur during the term of the Grant contract.
- I/We will hold subgrantees and subcontractors to these same requirements.

A grantee may make a request in writing to the Executive Director of the BSCC for an exception to the debarment policy. Any determination made by the Executive Director shall be made in writing.

(Page 2 of 2)

| <b>AUTHORIZED SIGNATURE</b><br>(This document must be signed by the person who is authorized to sign the Grant Agreement.)  |       |                  |          |
|---|-------|------------------|----------|
| NAME OF AUTHORIZED OFFICER  | TITLE | TELEPHONE NUMBER |          |
| STREET ADDRESS  | CITY  | STATE            | ZIP CODE |
| EMAIL ADDRESS   |       |                  |          |
| AUTHORIZED OFFICER SIGNATURE (This document must be signed by the person who is authorized to sign the Grant Agreement. The authorized signatory may sign with a digital signature <u>OR</u> a wet blue ink signature.)<br><br><b>X</b> |       |                  | DATE     |

## Appendix J: Sample Comprehensive Visit Monitoring Tool

### Corrections Planning and Grant Programs Division COMPREHENSIVE MONITORING VISIT (CMV) TOOL

#### Instructions to Grantees

- Please complete this entire document prior to the Comprehensive Monitoring Visit.
- Refer to the CMV Tool User Guide for Grantees for instructions.
- During the visit, the Field Representative will review your responses with you.
- The completed CMV Tool along with the day(s) agenda should be returned to BSCC at least one week prior to the scheduled visit.

|  |  |
|--|--|
| <b>Grantee:</b> Yes <input type="checkbox"/> No <input type="checkbox"/> | <b>Award Year:</b> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> |
| <b>Grant Program:</b>  | <b>Federal Funds:</b> <input type="checkbox"/> <b>State Funds:</b> <input type="checkbox"/>                                    |
| <b>Contract Number:</b>  | <b>Grant Amount:</b>   |
| <b>Project Title:</b>  |  |
| <b>Project Director:</b>   | <b>Financial Officer:</b>  |
| <b>Project Director Phone:</b>   | <b>Financial Officer Phone:</b>  |
| <b>Project Director E-Mail:</b>  | <b>Financial Officer E-mail:</b>   |
| <b>Field Representative:</b>   |  |
| <b>Date of Visit:</b>  | <b>Agenda Included:</b> Yes <input type="checkbox"/> No <input type="checkbox"/>   |
| <b>Name and Title of Individual Completing the Form:</b>                 |  |
| <b>Name:</b>   | <b>Title:</b>  |

**Persons Interviewed During the Visit:**

| Name | Title | Agency |
|------|-------|--------|
|      |       |        |
|      |       |        |
|      |       |        |
|      |       |        |
|      |       |        |
|      |       |        |
|      |       |        |
|      |       |        |

**Project Sites Visited (include initial meeting site):**

| Name of Agency or Organization | Address |
|--------------------------------|---------|
|                                |         |
|                                |         |
|                                |         |
|                                |         |
|                                |         |
|                                |         |

**Brief Project Summary:**

SAMPLE



## I. ADMINISTRATIVE REVIEW

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### 1. Executed Agreement

Does the Grantee have a copy of the fully executed Standard Agreement in the official file (e-file is acceptable)? Yes  No

### 2. BSCC Grant Administration Guide

a. Does the Grantee have a copy of the BSCC Grant Administration Guide readily available to project staff (e-file is acceptable)? Yes  No

b. Do staff know how to use the Guide for the project? Yes  No

### 3. Organizational Chart

Does the Grantee have a current organizational chart for the department/unit/section responsible for programmatic oversight of the grant? Yes  No

### 4. Duty Statements

a. Does the Grantee maintain duty statements for grant-funded staff? *Note: Standard job classifications usually are not acceptable, unless the position was created specifically for the grant.* Yes  No

b. If yes, does it list specific activities related to the grant? Yes  No

### 5. Timesheets

a. Does the Grantee maintain timesheets on all staff charged to the grant (including those claimed as match)? Yes  No   
*Note: Estimates and/or percentages are not acceptable.*

b. Does the Grantee maintain functional timesheets or conducts time studies for split-funded positions (including those claimed as match)? Yes  No   
*Note: Estimates and/or percentages are not acceptable.*

### 6. Staff Positions

a. Are all authorized grant positions filled and performing grant-related duties? Yes  No

b. If no, list all unfilled positions and explanations for vacancies.

### 7. Anticipated Changes

a. Are there any anticipated changes to staff or the project? Yes  No

b. If yes, explain the changes

**8. Subcontracts**

- a. Does this grant provide for subcontracted services? Yes  No
- b. If yes to 8a, list subcontracts awarded.
- c. If yes to 8a, are copies of the subcontract awards contained within the official project file? Yes  No
- d. If yes to 8a, do subcontracts contain the required language from the BSCC contract (e.g., access to program and fiscal records, access to facility, access to program participants, Non-Discrimination clause, Civil Rights compliance)? Yes  No
- e. If yes to 8a, do subcontracts appear to be in compliance with conflict of interest laws that prohibit individuals or organizations that participated on the Executive Steering Committee for this grant? Yes  No

**9. Non-Governmental Organization (NGO) Assurances**

Does the Grantee have assurance documentation for each NGO listed on Appendix B within the Grant Agreement? Yes  No

**10. Budget Modifications**

- a. Are copies of project budget modifications maintained in the official file? Yes  No
- b. Were there any substantial modifications made that were not approved by the BSCC? Yes  No
- c. If yes, explain.

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**FOR BSCC USE ONLY: Field Representative Comments for Administrative Review Section**

## II. CIVIL RIGHTS REVIEW

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### For State Grants Only:

#### 1. Non-Discrimination for Participants

- a. Does the Grantee ensure the services they provide are not denied to any person on the basis of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status? Yes  No
- b. If no, explain.

#### 2. Non-Discrimination for Employees

- a. Does the Grantee ensure that employees and applicants for employment are never unlawfully discriminated against because of race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex, gender, gender identity, gender expression, age, sexual orientation, or military and veteran status? Yes  No
- b. If no, explain.

### For Federal Grants Only:

#### 1. Equal Employment Opportunity Plan

- a. If the Grantee is required to prepare and submit an Equal Employment Opportunity (EEO) Plan online to the Office for Civil Rights (OCR), have they done so within the last 24 months? Yes  No
- b. If yes to 1a, on what date did the Grantee submit their EEO Plan to the OCR?

\*A Grantee is required to prepare and submit an EEO Plan online to the Office for Civil Rights at <https://ojp.gov/about/ocr/eeop.htm>, if it is a state or local government agency or a private business, has 50 or more employees, **and** has received a subaward of \$25,000 or more.

\*A Grantee is **exempt** from preparing and submitting an EEO Plan if it is a nonprofit/community-based organization, an Indian tribe, medical/educational institution, a state or local government agency, or a private business that has less than 50 employees or has received a subaward of \$25,000 or less.

\*If the Grantee is unsure as to whether they are required to prepare an EEO Plan, please refer to <https://ojp.gov/about/ocr/eeop.htm>.

## 2. EEO Plan Certification

- a. Has the Grantee been able to produce a current (within the last 12 months) Certification Form? Yes  No
- b. If yes to 2a, on what date did the Grantee complete their Certification Form online to the OCR?

\*All Grantees are required to prepare and submit a Certification Form online to the Office for Civil Rights at <https://ojp.gov/about/ocr/eeop.htm>. By submitting the Certification Form, the Grantee either acknowledges its obligation to develop and submit an EEO Plan to the Office for Civil Rights, OR the Grantee declares their exemption from the EEO Plan submission requirement.

\*For questions about preparing and submitting the Certification Form, please refer to <https://ojp.gov/about/ocr/eeop.htm>.

## 3. Non-Discrimination

- a. Is the Grantee able to produce a current EEO Policy, job advertisement, or blank employment application that states it does not discriminate in employment practices based on all current protected classes\* listed below? Yes  No
- b. Is the Grantee able to produce a current Anti-Discrimination Policy Statement, brochure or posting showing that it does not discriminate in the delivery of services or benefits based on all current protected classes\* listed below? Yes  No
- c. Is the Grantee able to produce a written policy or procedure that notifies employees, program participants, and beneficiaries on how to file complaints and grievances alleging discrimination based on all current protected classes\* listed below? Yes  No

If yes, to 3c, has the Grantee adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging discrimination based on all current protected classes\* listed below? Yes  No

- d. Does the Grantee have a designated employee to coordinate compliance with prohibiting discrimination in employment practices and in the delivery of services based on all current protected classes\* listed below? Yes  No

If yes to 3d, enter name, title and contact information for the designated employee.

- e. Has the Grantee submitted to the OCR any adverse findings of discrimination against the Grantee, issued by a federal or state court or a federal or state administrative agency (i.e., Equal Employment Opportunity Commission, California Department of Fair Employment and Housing, etc.)? Yes  No

\*Current Protected Classes:

Ancestry, age, color, disability (physical and mental, includes HIV and AIDS), genetic information, gender identity, gender expression, marital status, medical condition (genetic characteristics, cancer or a record or history of cancer), military or veteran status, national origin, race, religion (includes religious dress and grooming), sex/gender (includes pregnancy, childbirth, breastfeeding and/or related medical conditions), sexual orientation, or request for FMLA.

#### 4. Limited English Proficiency (LEP)

Is the Grantee able to produce a policy or procedure on how it provides meaningful access to its programs, services and activities to persons who have limited English proficiency (i.e., written language/oral interpretation services, bilingual staff, telephone interpreter lines, community volunteers, etc.)?

Explain the project's process.

#### 5. Training

- a. Did the Grantee review the online training videos administered by the U.S. Department of Justice, Office of Justice Programs, Office for Civil Rights located at <https://www.ojp.gov/program/civil-rights/video-training-grantees/overview>, before or during BSCC compliance assessment site visit/desk review? Yes  No
- b. Does the Grantee train its employees on the requirements of applicable federal civil rights laws? Yes  No

\*If the Grantee has questions about compliance with civil rights obligations and nondiscrimination provisions, please refer to <https://ojp.gov/about/ocr/eeop.htm>.

#### 6. Faith-Based or Religious Organization

Only Answer if Grantee is a faith-based organization:

- a. Does the Grantee provide federally funded services to eligible beneficiaries regardless of religion, a religious belief, a refusal to hold a religious belief, or a refusal to attend or participate in a religious practice? Yes  No
- b. Does the Grantee maintain its religious activities separate from its federally funded services or benefits? Yes  No
- c. Does the Grantee ensure that participation in its religious activities is voluntary for program participants in its federally funded program? Yes  No
- d. Does the Grantee provide appropriate notice to program beneficiaries or prospective beneficiaries that the Grantee does not discriminate on the basis of religion in the delivery of services or benefits? Yes  No
- e. Does the Grantee notify those program beneficiaries who object to the "religious character" of the Grantee that they will make a reasonable effort to locate, and

notate its records of, an alternate organization that offers comparable services and benefits? Yes  No

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**FOR BSCC USE ONLY: Field Representative Comments for Civil Rights Review Section**

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**III. FISCAL REVIEW**

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**1. Budget File**

Does the Grantee maintain an official budget file for the project? Yes  No

**2. Fiscal Policies and Procedures**

a. Does the Grantee maintain written procedures for the fiscal policies related to the grant? Yes  No

b. If yes, are the fiscal policies accessible by grants fiscal staff? Yes  No

c. Can the Grantee explain its agency's claims, payments, and reimbursement/disbursement processes as they relate to this grant (i.e., agency checks and balances)? Yes  No

**3. Invoices**

a. Are BSCC invoices (BSCC Form 201) current and is spending on track? Yes  No

b. Are copies of the BSCC invoices for reimbursement/disbursement contained within the official file? Yes  No

c. Do the fiscal/accounting records (to be reviewed during the visit) contain adequate supporting documentation for all claims on invoices, including match? Yes  No

d. Can salaries and benefits be easily tied back to reimbursement/disbursement BSCC invoices? Yes  No

e. Does the Grantee maintain supporting documentation or a calculation methodology for indirect costs or overhead claimed on BSCC invoices (e.g., an approved Indirect Cost Rate Proposal)? Yes  No

f. Do expenditures appear to meet contract eligibility, as defined in the BSCC Grant Administration Guide? Yes  No

#### 4. Tracking

- a. Are BSCC contract funds deposited into separate fund accounts or coded specifically to distinguish grant funds from other fund sources? Yes  No
- b. Does the Grantee maintain a tracking system for purchases, including receipts and disbursements, related to the grant program? Yes  No
- c. Are tracking reports regularly reviewed by management and/or program staff? Yes  No
- d. Can the Grantee provide general ledgers documenting the entries for receipts and disbursements? Yes  No

#### 5. Equipment/Fixed Assets

- a. Has the Grantee purchased or leased equipment/fixed assets with grant funds? Yes  No
- b. If yes to 5a, are the equipment/fixed assets listed in the budget or in a Budget Modification? Yes  No
- c. If yes to 5a, did the Grantee receive prior approval from BSCC for purchases of equipment and/or fixed assets that were more than \$3,500 per item? Yes  No
- d. If yes to 5a, does the Grantee maintain an inventory list of equipment/fixed assets purchased with grant funds? Yes  No
- e. If yes to 5a, does the Grantee maintain proof of receipt of equipment/fixed assets? Yes  No

#### 6. Supplanting

- Can the Grantee verify that expenditures submitted for grant reimbursement (including salaries and benefits) are not also claimed/reimbursed under another separate agreement or funding stream (supplanting)? Yes  No

#### 7. Match

- a. Is the Grantee in compliance with the match requirement? Yes  No
- b. If no, is there a plan to meet the contractually obligated match percentage/amount? Yes  No

#### 8. Project Income

- a. Does the Grantee generate income from grant funds (e.g., fundraisers, registration fees, interest earned on grant advances, etc.)? Yes  No

- b. If yes, does the Grantee report that income with an explanation for how the income will be used on BSCC invoice? Yes  No

**9. Subcontracts**

- a. Does the Grantee require subcontract agencies to submit source documentation with their billing invoice? Yes  No
- b. If yes, what type of documentation detail does the Grantee require subcontractors to submit? See the table below and check all that apply to the grant project.

| Subcontractor Supporting Documentation                                      | (check all that apply)   |                          |
|---|--------------------------|--------------------------|
|   | Grant                    | Match                    |
| List of positions funded:   | <input type="checkbox"/> | <input type="checkbox"/> |
| Documentation of staff hours (e.g. timesheets, time tracking report, etc.): | <input type="checkbox"/> | <input type="checkbox"/> |
| List of services delivered with dates, times and locations:                 | <input type="checkbox"/> | <input type="checkbox"/> |
| Participant sign-in sheets:   | <input type="checkbox"/> | <input type="checkbox"/> |
| Receipts for purchases (e.g. supplies, equipment, travel, etc.):            | <input type="checkbox"/> | <input type="checkbox"/> |
| Lease agreements:   | <input type="checkbox"/> | <input type="checkbox"/> |
| Participant support and incentive logs:                                     | <input type="checkbox"/> | <input type="checkbox"/> |
| Mileage logs:   | <input type="checkbox"/> | <input type="checkbox"/> |
| Other (describe below):   | <input type="checkbox"/> | <input type="checkbox"/> |

- c. Is the source documentation sufficient to justify charges? Yes  No

- d. Does the Grantee conduct desk audits of subcontract agencies? Yes  No

If yes, describe the process.

- e. Does the Grantee conduct site visits to subcontract agencies? Yes  No

If yes, describe the process.

**10. Audits**

- a. What type of audit report will the Grantee submit? Check only one report type.
- Single City/County Audit Report
  - Program Specific Audit
  - Other:
  - N/A



- b. Does the Grantee have audit reports covering the agency's internal control structure within the last two years? Yes  No

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**FOR BSCC USE ONLY: Field Representative Comments for Fiscal Review Section**

**IV. PROGRAM REVIEW**

*Note: Some of the information collected in this section will be used to foster discussion and assist with technical assistance, not necessarily to determine project compliance.*

**1. Governing Body**

- a. Does the grant require formation of some type of governing body (steering committee, coordinating council, etc.) to guide grant activities? Yes  No
- b. If yes to 1a, has this body been formed and is it meeting as required? Yes  No
- c. If yes to 1a, are all the required members participating? Yes  No

**2. Evidence-Based Interventions**

- a. Has the Grantee implemented an intervention(s) or strategy(ies) that they identify as evidence-based or as a promising practice? Yes  No
- b. If yes to 2a, list what source was used to determine the intervention(s) or strategy(ies) was evidence-based or a promising practice.
- c. Does the Grantee have a quality assurance or fidelity monitoring process in place to ensure that evidence-based or promising practice interventions are implemented as intended? Yes  No

**3. Assessment Tools**

- a. Is the Grantee providing direct services as part of their project? Yes  No
- b. If yes to 3a, are participants assessed for risk, need, and/or responsivity? Yes  No
- c. If yes to 3b, which assessment tool(s) is being used (e.g., housing, mental health, substance use disorder, etc.)? Check all that apply.

| Type of Assessment | Yes                      | No                       | Identify Tool(s) |
|--------------------|--------------------------|--------------------------|------------------|
| Risk               | <input type="checkbox"/> | <input type="checkbox"/> |                  |

|   |                          |                          |  |
|---|--------------------------|--------------------------|--|
| Need  | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Responsivity                                    | <input type="checkbox"/> | <input type="checkbox"/> |  |
| Other: <i>Mental Health, SUD, Housing, etc.</i> | <input type="checkbox"/> | <input type="checkbox"/> |  |

d. How is the information from the assessment used?

**4. Staff Training**

a. Do all project staff receive an orientation and/or training pertinent to the grant project? Yes  No

b. Are there opportunities for ongoing training for staff affiliated with the grant project? Yes  No

**5. Policies & Procedures**

a. Did the Grantee develop a written Program Manual, or policies and procedures that are specific to the grant project? Yes  No

b. If yes, are the above documents accessible to all staff? Yes  No

**6. Case Management/Tracking**

a. Does the Grantee maintain an automated or web-based case management and/or data collection system to track clients served by the grant? Yes  No

b. If no, explain how are services and/or clients are tracked?

**7. Source Documentation**

Does the Grantee maintain appropriate source documentation (e.g., intake forms, completed assessment tools, case plans, case notes, sign-in sheets, etc.) to verify clients are being served? Yes  No

**8. Progress Reports**

a. Are Progress Reports current? Yes  No

b. Do project records contain sufficient detail to support information reported within the project's Progress Reports? Yes  No

**9. Problems**

a. Has the Grantee experienced operational or service delivery challenges? Yes  No

b. If yes, provide a brief detail of those challenges and how the project is attempting to remedy the situation.

## 10. Sustainability

- a. Will the Grantee continue service delivery after grant funds expire?  
Yes  No
- b. If yes, provide a brief description of the sustainability plan, including potential funding sources to be used toward the project.

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### FOR BSCC USE ONLY: Field Representative Comments for Program Review Section

#### Other Requirements Reviewed

Per the site visit review, programmatic requirements specific to this grant program are being met. Yes  No

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## V. DATA COLLECTION AND EVALUATION

### 1. Evaluator

Does the Grantee subcontract for its data collection and evaluation services?  
Yes  No

### 2. Evaluation Plan

Is the Grantee on track with the activities and milestones described in its Local Evaluation Plan?  
Yes  No

### 3. Preliminary Evidence

a. Do data collection efforts show any preliminary evidence that could impact the project (positively or negatively)?  
Yes  No

b. If yes to 3a, provide a brief analysis.

c. Has the Grantee used this information to make improvements or changes to the project?  
Yes  No

d. If yes to 3c, provide a brief description of how the project was changed.

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### FOR BSCC USE ONLY: Field Representative Comments for Data Collection and Evaluation Review Section

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## VI. FOR BSCC USE ONLY: Monitoring Summary - Field Representative Comments

**1. Outcome of Comprehensive Monitoring Visit**

- a. Does the project generally meet BSCC grant requirements?      Yes     No
- b. If no to 1a, will a Compliance Improvement Plan be submitted?      Yes     No
- c. If yes for 1b, describe the issues identified for the Compliance Improvement Plan.

**2. Technical Assistance**

- a. Does the Grantee have any technical assistance needs?      Yes     No
- b. If yes, provide a summary of technical assistance requested.

SAMPLE