



**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

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March 16, 2007

To: JOHN GAINES, Chief
Department of Justice
Bureau of Narcotic Enforcement
CrackDown Multi-Community Task Force

Subject: **REQUEST FOR APPLICATION (RFA)**

Enclosed is the Department of Justice (DOJ), Bureau of Narcotic Enforcement (BNE), CrackDown Multi-Community Task Force Program application package to be used when submitting an application for State Fiscal Year (SFY) 2007/08 grant award funds. The Office of Emergency Services (OES) anticipates an allocation level of \$5,929,759 to the DOJ/BNE, CrackDown Multi-Community Task Force.

To be considered for continued funding for SFY 2007/08, applicants must complete the enclosed materials and submit them **no later than 5:00 p.m., Thursday, April 19, 2007.**

Mail applications to: **Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655**

**Attn: Rosie Vasquez
Anti-Drug Abuse DOJ/BNE RFA
Drug Enforcement Section**

If you have questions regarding this application, please do not hesitate to contact Rosie Vasquez, Program Specialist, Drug Enforcement Section at (916) 327-5668.

Sincerely,

Gwenyth Durling, Chief
Drug Enforcement Section

Enclosures

**GOVERNOR’S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**CRACKDOWN MULTI-COMMUNITY TASK FORCE
REQUEST FOR APPLICATION**

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[APPLICATION CHECKLIST AND REQUIRED SEQUENCE](#)

[APPLICATION COVER SHEET](#)

GRANT AWARD FACE SHEET AND INSTRUCTIONS

PROJECT CONTACT INSTRUCTIONS AND INFORMATION

SIGNATURE AUTHORIZATION AND INSTRUCTIONS

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PROJECT SUMMARY

BUDGET FORMS (Excel spreadsheet format) - Without Match

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BUDGET NARRATIVE

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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**CRACKDOWN MULTI-COMMUNITY TASK FORCE
REQUEST FOR APPLICATION**

PART I – INFORMATION

A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and can be accessed at the website www.oes.ca.gov by selecting "Recipient Handbook Appendices and Forms."

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the following contact person by telephone, fax, or e-mail:

Rosie Vasquez
Drug Enforcement Section
Telephone: (916) 327-5668
FAX: (916) 323-1756
E-Mail: rosie.lozano-vasquez@oes.ca.gov

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original and one copy of the application must be delivered to OES' Law Enforcement and Victim Services Division (LEVSD) by the date and time indicated below. Submission options are:

1. Regular and Overnight mail, **postmarked by Thursday, April 19, 2007** to:

Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Rosie Vasquez
DOJ/BNE CRACKDOWN RFA
Drug Enforcement Section

2. Hand delivered by **5:00 p.m. on Thursday, April 19, 2007** to:

Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Rosie Vasquez
DOJ/BNE CRACKDOWN RFA
Drug Enforcement Section

D. ELIGIBILITY

The California Department of Justice (DOJ), Bureau of Narcotic Enforcement (BNE), is eligible to receive funding from the Edward Byrne Memorial Justice Assistance Grant (JAG) Program for Fiscal Year 2007/08 through the non-competitive Request for Application process.

E. FUNDS

The OES, LEVSD, provide funds to state, regional and local units of government. These funds are used to assist state agencies and local jurisdictions to improve the functioning of the criminal justice system, with emphasis on convicting violent and serious offenders and enforcing drug control laws. In California these programs fall under the ADA Enforcement Program and are funded by the Edward Byrne Memorial Justice Assistance Grant (JAG). The DOJ/BNE, CrackDown Multi-Community Task Force (CrackDown) Program designates Special Agents and resources in support of the local multi-jurisdictional drug task forces (MJDTF).

Congress established the JAG Program in the 2005 Omnibus Appropriations Package (H.R. 3036). JAG combined the Edward Byrne Memorial Formula Grant (Byrne) Program and the Local Law Enforcement Block Grant Program into a single program in an effort to streamline justice funding and grant administration. The JAG Program allows states, tribes and local government to support a broad range of activities to prevent and control crime based on their own local needs and conditions through six authorized Program Purpose Areas (PPAs) as described below.

JAG PPAs:

- *Law enforcement programs,*
- *Prosecution and courts programs,*
- *Prevention and education programs,*
- *Corrections and community corrections programs,*
- *Drug treatment programs, and*
- *Planning, evaluation and technology improvement programs.*

California has identified multi-jurisdictional drug task forces as the priority for the use of these funds under the Law Enforcement PPA for the State Fiscal Year 2007/08 DOJ/BNE, CrackDown Program.

OES anticipates \$5,929,759 from the federal JAG Program will be allocated to the DOJ/BNE, Crackdown in Fiscal Year 2007/08. Applicants responding to this application must budget for 12 months. The grant period will begin on July 1, 2007 and end on June 30, 2008. A new grant application is required for each subsequent year of grant funding.

F. PROGRAM INFORMATION

The DOJ/BNE, CrackDown Program, is responsible for combating inter-jurisdictional and intra-state drug trafficking focusing on methamphetamine, cocaine, marijuana, and the diversion of legal drugs.

The DOJ/BNE CrackDown Program efforts are concentrated on targeting drug offenders within the Colombian cocaine cartels, California street gangs, and Mexican drug trafficking organizations providing smuggling routes through Mexico and California

The DOJ/BNE Crackdown Program complements the Anti-Drug Abuse Enforcement Program by supporting local multi-agency drug enforcement teams with Special Agents from the Bureau of Narcotic Enforcement. This Program support provides local drug enforcement teams with resources, equipment, and jurisdiction that they would lack in the absence of this program.

G. PREPARING AN APPLICATION

Part IV - Forms includes an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application.

Please provide the required application components in the order listed below:

(If a form requires a “signature”, please submit with original signature in blue ink)

- Application Cover Sheet
- Grant Award Face Sheet (OES A301)
- Project Contact Information
- Certification of Assurance of Compliance
- Signature Authorization and Instructions
- Budget Narrative and the Project Budget (OES A303a-c)
- Project Summary
- Project Narrative/Problem Statement
- Operational Agreement
- Reporting Alien Convictions
- Methamphetamine Assurance of Compliance
- Project Service Information

The following forms are required if applicable:

- Out of State Travel Request
- Computer and Automated System Purchase Justification Guidelines
- Non-Competitive Bid Justification Checklist
- Disbursement of Confidential Funds Certification (Attachment A)

Additional required information:

- Organizational Chart

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**CRACKDOWN MULTI-COMMUNITY TASK FORCE
REQUEST FOR APPLICATION**

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in the *Recipient Handbook, Appendices, and Forms (FORMS)* and plain 8½" x 11" white paper for the application. The blank Project and Budget Narrative pages on the website have been pre-formatted to OES standards. If you create your own computer-generated Project and Budget pages, the format must duplicate the OES pre-formatted pages. Please number all pages of the Project and Budget Narratives.

Copies of the application must be assembled separately and individually fastened in the upper left corner. **Do not bind application.**

A. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

To be eligible for funding, applicants are required to prepare a plan to address illegal drugs and associated violence in their jurisdiction and to determine how the JAG funds will be utilized to implement this plan. Funds for this program are to be used for the purposes of enforcing the State and local controlled substances laws and to improve the functioning of the criminal justice system with emphasis on drugs through multi-jurisdictional drug task forces.

State agency applicants are not required to create an ADA Steering Committee; however, they must develop a plan, involve key individuals in their collaborative process, and determine goals and approaches to be used, as well as determine how the JAG funds will be utilized to implement their plan.

Applicants are encouraged to establish a long-range (up to three years) comprehensive strategy to address their identified goals. This three-year strategy is designed to promote long-term, proactive planning and facilitate greater coordination and collaborative efforts. **Although applicants may refer to their long-range strategy in the narrative, this specific application is only for a 12-month period, as it relates to goals, objectives, activities, and budget.**

In developing a comprehensive strategy, all of the key individuals should be included in the process (i.e., those with relevant knowledge of the drug issues within their jurisdiction). Through a facilitated and collaborative effort, the goals are determined and the approach is collectively decided upon.

The project narrative also contains detailed information that describes the applicant, the need for funding, and the plan to address the community drug problem/issue through appropriate and achievable objectives and activities. The project narrative should be page numbered and is to be divided into three sections: 1) Problem Statement, 2) Plan, and 3) Implementation.

1. Problem Statement

The problem statement is the foundation of the project and was identified in the previous funding year. Unless additional issues need to be addressed, the problem statement can be summarized providing updates in the target area, target population and/or crime statistics. If needed, please adhere to the following guidelines:

a. Description of the Jurisdiction

Describe the demographic, geographic, ethnic and economic composition of the county. Describe the drug culture and identify the underlying social factors that have contributed to the overall drug problem in the project area/jurisdiction.

b. Problems and Trends

The problem statement must describe the nature and extent of the illegal drug problem to be addressed by the applicant and should be focused on the overriding problems and trends.

List and discuss, in order of priority, the drug problems identified. Issues should be directed at a specific problem or problem area and should be realistic so that progress can be measured. Supporting factual and illustrative data must include the following, in the order listed:

1. Estimates of the availability and use of drugs in the jurisdiction;
2. The major sources of drugs transported into or through the jurisdiction;
3. The extent to which drugs are produced within the jurisdiction;
4. An analysis of changes in drug availability and drug use;
5. Increase or decrease in the cost and purity of major drugs;
6. The prevalence and patterns of violent crime in the jurisdiction, including incidents and patterns of drug-related violent crime;
7. Emerging problems or significant changes in the level of a specific problem, as it relates to drug-related violence;
8. Process used to determine problems; and
9. Others, if applicable.

The discussion should address the current efforts underway and any new efforts or programs, whether or not grant-funded, that will respond to the priority issue. Activities that represent collaborative efforts between federal and state funded programs should be emphasized. Indicate how the priority issues were determined.

2. Plan

The program plan was presented in the first year of funding. Unless updates are required, the applicant may carryover the goals, objectives and activities from last year's plan. However, please provide updated information on status of Operational Agreements and/or Memorandum of Understanding (MOU). If needed, please adhere to the following guidelines:

The plan will demonstrate the processes and methods the Department of Justice will utilize to attack the various problems that have been identified and prioritized in the Problem Statement.

a. Target Area and Target Population:

Define the project target area and target population. The project must concentrate efforts on an identifiable geographic area. The target area must be delineated by criminal justice agency boundaries or governmental boundaries (e.g., a city, county, or school district area). This area may be one or more communities/cities, specified unincorporated areas, a single county, or region.

b. Program Description:

1. Project Title: The title should be worded in general terms, but it should define the focus of the program within a major topical area.
2. Long-Range Strategy (if applicable): Applicants are encouraged to develop a long-term (three years or more) strategy, as well as a comprehensive strategy. Provide a broad overview of this plan and describe anticipated long-range activities.
3. Impact: Describe how the project will effectively impact the target area and the expected outcomes. What is the intended effect(s) on the problem(s) and the target area?
4. Project Design: Describe the overall project and project design. The description should include project size, composition, range and focus of services, and location in proximity to the implementing agency. If necessary, delineate by participating component.
5. Roles: Describe the specific role of each participating agency and how their individual efforts will help achieve the goal(s). Generally describe how each participating agency will address the problem and how they will work together. Efforts of each component should connect together.
6. Source Documentation: Demonstrate the project's ability to create and implement data collection instruments. Describe the source documentation.

c. Goals, Objectives, Activities, and Performance Measures:

To better determine effectiveness, the projects funded through the DOJ/BNE CrackDown Program have moved from process evaluation to impact and outcome evaluation. Process evaluation typically counts/tracks the "outputs" (i.e., arrests), while impact evaluations consider the "outcomes" (safer communities, decrease in drug availability, less demand for drugs, etc.).

1. **Goals - Utilizing the issues that were identified and prioritized in the Problem Statement, specify the goals of the project.**

A goal is the largest overall effect that your program has on your community. Each goal should be presented with all of its accompanying objectives, key activities, and performance measures.

What is (are) the goal(s) of the project? Overall goal(s) may be broad in scope and long in duration. There may be underlining goals as steps to achieve the overall goal(s).

2. **Objectives - For each goal include a minimum of three objectives.**

Objectives focus on the methods that will be used to address the problem. They should be clearly stated, realistic and **measurable**. They should reflect the project description and support the achievement of the project goals.

Describe in detail the objectives that will be implemented to achieve the goals. Each objective must also be linked to one or more corresponding performance measures.

3. **Activities - The key operational elements** of the program are the activities, which occur in support of the achievement of objectives. Activities must be specific, detailed enough to determine effectiveness, and must be reflective of the budget.

Describe in detail the activities to be performed to accomplish each objective. Activities must be specific and **measurable**.

4. **Performance Measures and Projections** - Performance measures must be clearly identified, results-oriented and reasonably attainable. Use the following **definitions** to assist in your response:

Output - The amount of work done; must be quantifiable (numbers projected and numbers achieved). Enter specific numbers, not percentages and not a range of numbers.

Output Measure - A measure of the volume of something actually produced; counts the goods and services produced (workload).

Outcome - The results of activities designed to accomplish the project's goal(s) and demonstrate a change.

Outcome Measure - The unit of measurement used to evaluate the success of an outcome; measures the actual impact or public benefit of a project's actions. For outcome measures, the initial year may consist of collecting baseline data.

Determine how the impact of the plan (project) can be assessed. The measurements for each objective may be a combination of outputs and outcomes. Based on federal requirements, OES has moved from output measures alone, to incorporate outcome measures. Outcome measures can measure the effects/impact of the project efforts. If you eliminate the identified problem, what would or would not happen? Once the anticipated effects have been determined, baseline data needs to be established to measure program effectiveness over time. Recipients will be required to submit output/outcome data in the progress reports.

The following goal is MANDATORY. Use these measures, as well as others you establish, to determine how your objectives will be achieved.

Mandatory Goal: During the grant year, reduce illegal activities of targeted offenders through law enforcement. Concentrating on targeting drug offenders, street gangs, and drug trafficking. Support local drug enforcement teams with resources, equipment, and jurisdiction they would lack in the absence of the program.

Objective: Assign Special Agents to conduct investigations with multi-jurisdictional drug task forces for combating inter-jurisdictional and intra-state drug trafficking focusing on methamphetamine, cocaine, marijuana, and the diversion of legal drugs.

Outcome Measures:

Number of Special Agents assigned to local drug teams

Number of local drug teams supported

Number of investigations conducted

- **Each project must provide the mandatory goal as well as a minimum of one additional goal.**
- **Each objective must have a minimum of one *outcome* measure.**

3. Implementation

The applicant's ability to implement the plan was presented in the first year of funding. Unless updates are required, i.e., operational agreements, the applicant may carryover the implementation plan from the previous year. If needed, please adhere to the following guidelines:

Provide a description of the plans for coordination.

a. Organizational Description

Describe the project's organizational framework, listing all funded and donated positions assigned to the project.

b. Organizational Chart

Clearly highlight grant-funded positions. Titles for individuals should match those in the budget.

B. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds. Budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program, ensure the successful and cost effective implementation of the project. Failure of the applicant to include required items in the budget does not eliminate responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Recipient Handbook* at www.oes.ca.gov. Select "*Recipient Handbook, Appendices, and Forms*" for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact your Program Specialist should you have additional budget questions.

1. **Budget Narrative**

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application in front of the budget pages. In the narrative describe:

- How the applicant's proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment. This does not take the place of the brief justification required in the line item budget.
- Specify the number of project-funded staff working on Project.
- Specify the number of Task Force members working 100 percent on Task Force.
- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

2. **Specific Budget Categories**

There is an Excel Workbook in *Recipient Handbook, Appendices and Forms* ([FORMS](#)) with spreadsheets for each of the following three budget categories:

- A. Personal Services – Employee Salaries/Benefits;
- B. Operating Expenses; and
- C. Equipment.

The left column of each budget category on the Spreadsheet requires ***line item detail*** including the method of calculation and justification for the expense. Enter the amount of each line item in the correct column of the Budget Category form. The spreadsheet will add each addition and round off the nearest whole dollar. You may add extra rows if necessary, the spreadsheets total at the end of each budget category and total the three spreadsheets at the bottom of the last page (Equipment). The total of the budget including the funding source amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

Method of Calculation Example:

Facility Rental (to be shown on budget page)
Office Space is rented for 2 positions
Step 1: $\$1.75 \times 125 \text{ sq ft} = \218.75
Step 2: $\$218.75 \times 2 \text{ full-time positions} = \437.50
Step 3: $\$437.50 \times 12 \text{ months} = \mathbf{\$5,250 \text{ (Total Cost)}}$

(Refer to *Recipient Handbook* Section 2232 for more information on Facility Rental)

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. Personal Services – Salaries/Employee Benefits (OES A303a):

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. These may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries and rounded off to the nearest dollar. *Note: Overtime will not be paid to support positions that are not Task Force members.* If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operational Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses – page 13, paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (OES A303b):

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500) under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during an OES site visit, monitoring visit, or audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses category.

Allowable Expense:

- 1) **Confidential Fund** expenditures are costs that will be incurred by law enforcement agencies using grant personnel working undercover or in another investigative capacity. It may include the purchase of information, physical evidence (e.g., narcotics or stolen property), or services. Confidential fund expenditures are only allowable for grants to state or local law enforcement agencies. Refer to the ADA Enforcement Program Guidelines for the Federal Guidelines on Confidential Funds. (If applicable to your project, please complete Attachment C.)

c. Equipment (OES A303c):

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

Allowable Equipment:

- 1) **Vehicles** are an allowable expense for the ADA Enforcement Program with prior written approval from OES. Follow the justification instructions in Section 2331 of the *Recipient Handbook*.
- 2) **Weapons and Ammunition** are allowable expenditures for Multi-Jurisdictional Drug Task Forces. Lethal weapons can be approved by OES staff with proper justification as deemed necessary on a case-by-case basis. Non-lethal weapons such as tasers, pepper ball guns, and bean bag guns are allowed.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**CRACKDOWN MULTI-COMMUNITY TASK FORCE
REQUEST FOR APPLICATION**

PART III – ADDITIONAL INFORMATION

The applicant is strongly encouraged to review the following sections in preparing the application.

- A. Finalizing the Grant Award Agreement**
- B. Administrative Requirements**
- C. Budget Policy**
- D. Glossary of Terms**

A. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. OES does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Grant Award Conditions

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by OES.

3. Grant Award Agreements

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The recipient is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received and the State Budget is finalized, the Report of Expenditures and Request for Funds (OES 201) may be submitted for reimbursement.

4. Grant Award Amounts

When the amount of funds available is limited, OES may reduce the amount of the grant award from the amount requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

B. ADMINISTRATIVE REQUIREMENTS

The Recipient Handbook (RH)

The *Recipient Handbook* is accessible on the OES Internet website at www.oes.ca.gov by selecting "*Recipient Handbook, Appendices and Forms.*" The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

The information below may be cross referenced with the *Recipient Handbook (RH)* by referencing the handbook section number.

1. Internet Access (RH 11500)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the terms of the program.

2. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

3. Monthly/Quarterly Report of Expenditures and Request for Funds (OES 201) (RH 6300)

Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form OES 201 will result in the withholding of funds and may result in the recommendation to OES' Executive Director for termination of the grant award.

4. Technical Assistance/Site Visits (RH 10300)

Funded projects are assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

5. Monitoring Requirements (RH 10400)

A monitoring visit is an onsite assessment by OES staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

6. Audit Requirements (RH 8000)

Recipients must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in Sections 8150 – 8154 of the *Recipient Handbook*.

7. Copyrights, Rights in Data, and Patents (RH 5300)

OES owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

8. Source Documentation (RH 10111)

Recipients are required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the terms of the program. Recipients will be required to have written job descriptions on file for positions funded by OES detailing specific grant-related activities to achieve project objectives.

C. BUDGET POLICY

This document summarizes information on OES Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.oes.ca.gov by selecting “*Recipient Handbook, Appendices and Forms.*”

1. Supplanting Prohibited (RH 1320)

Grant funds must be used to supplement existing funds for program activities and **not replace** funds appropriated for the same purpose. A written certification must be provided

to OES indicating the grant funds will not be used to supplant existing funds. Supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1320 of the *Recipient Handbook*.

2. Project Income (RH 6610)

Project income such as client fees and fees for services provided by the project (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds unless otherwise specified in the RFA instructions.

3. Non-Competitive Bid Request (RH 3500)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by OES program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000, which requires prior OES approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a noncompetitive bid request will be required. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4000, *Recipient Handbook*).

4. Travel Policies

The following is OES' current travel policy:

a. Selection of Travel Policy (RH 2236)

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBO)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel Policy (RH 2236.2)

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for OES approval prior to incurring expenses.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 48.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

Total is \$40.00 for a 24-hour period.

4) Lodging

The maximum allowed lodging rate is \$84.00, plus applicable taxes (except as noted below). Lodging receipts are required for reimbursement.

5) **Special Lodging Rates**

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140, plus applicable taxes.

6) **Other**

Taxi, airport shuttle, etc. which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

5. **Participating Staff (RH 4500)**

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the operating expenses category of the grant budgets.

6. **Consultant Services (RH 3710)**

Consultant services are provided on a contractual basis by individuals or organizations not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or,
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. **Rates**

The maximum rate for independent contractors is \$250 per hour (excluding travel and subsistence costs). A request for compensation for over \$250 per hour requires ***prior approval*** and additional justification.

- **Independent Contractors Employed by State and Local Government**

Compensation for independent contractors will be allowed when the unit of government cannot provide services without this cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (RH 3710.2)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT), Medical Doctor (MD)];
- rate of pay per hour, including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation);
- justification for why this cost cannot be paid with county funds (attach the justification to OES A303b).

7. Facility Rental (RH 2232)

Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

- **Rental Space for Training and Counseling Rooms**

Rental space for training and individual and/or group counseling rooms may also be charged to the grant providing the charge is based on actual costs and not reimbursed by other source.

8. Rented or Leased Equipment (RH 2233)

An explanation and cost analysis is required when equipment is rented or leased. This analysis must demonstrate it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by OES prior to the execution of a rental or lease agreement.

9. Indirect Costs/Administrative Overhead (RH 2220)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by the applicant for indirect costs if allowable by the funding source.

10. Audits (RH 8000)

OES projects expending \$25,000 or more of OES grant awards are required to complete and audit (RH 8132). The project may budget for the cost of obtaining a financial audit. Allowable audit costs (RH 8151) are as follows:

- if the total amount of the grant is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total amount of the grant is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

11. Equipment (RH 2300)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment may be budgeted if it is essential to the implementation of the project and to be used solely for project activities. Grant funds may not be used to reimburse the project for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness. Prior approval by OES is required.

b. Computers (RH 2340)

1) Community-Based Organization (RH 2236.22)

Community-based organization may budget up to \$25,000 in computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. Prior approval by OES is required. The Recipient will be sent instructions for preparing the justification.

2) Units of Government (RH 2342.2)

Units of government may budget for computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification (RH 2341)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities.

c. Automobiles (RH 2331)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobile usage during work hours. A cost analysis for automobile purchase as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by OES's program staff during a site visit, monitoring visit, and/or audit.

12. Prohibited Expense Items (RH 2240)

a. Lobbying (RH 2242)

Refer to *RH 2242.1* for an extensive list of prohibited activities.

b. Fundraising (RH 2243)

OES grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

c. Real Property and Improvements (RH 2244)

Real property including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless authorized in the RFA instructions.

d. Interest, Charges, Fees and Penalties (RH 2245)

The cost of interest payments is not an allowable expenditure unless the cost is a result of a lease/purchase agreement. Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

e. Food and Beverages (RH 2246)

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

f. Weapons and Ammunition (RH 2247)

The cost of weapons and/or ammunition of any type are not an allowable expenditures unless they are part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

g. Membership Dues (RH 2248)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

h. Professional License (RH 2248)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

i. Annual Professional Dues or Fees (RH 2248)

The cost of professional dues or fees are not allowable expenditures unless it is part of a governmental negotiated benefit package, or is specifically authorized by the RFA instructions.

j. Depreciation (RH 2249)

Equipment costs may not include additional costs calculated for depreciation.

D. GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or action a project takes to achieve a measurable objective.
Application	Once selected for funding, the original proposal and additional forms as required by OES becomes the application. This application, once signed by the OES director or designee and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A documented, tax exempt, nonprofit, public benefit corporation serving the community. This term is used synonymously with nonprofit organization.
Equal Employment Opportunity Plan (EEO Plan)	A comprehensive plan analyzing the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEO Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEO (samples, forms, etc.). The document was prepared to assist recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEO for compliance with the law.
Grant Award/Grant Award Agreement	The signed agreement between OES and the local government agency or organization authorized to accept grant funding.
Grant Award Forms	The forms needed to prepare an application or proposal. They may be accessed on the OES website under " <i>Recipient Handbook, Appendices and Forms</i> " (FORMS)
Grant Funding Cycle	The number of years a program may be funded without soliciting a new competitive Request for Proposal. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA) which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Noncompetitive Bid Contract	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization	A documented, tax exempt, nonprofit, public benefit corporation serving the community. The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.

Term	Definition
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project, including the transfer of grant funds when appropriate. This includes MOUs, Letters of Intent, etc.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of law enforcement or victim services and supported by an appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a funded state or local government agency or CBO.
Proposal	The packet of information and forms required by the RFP and submitted to OES which specifies the priorities, strategies and objectives of the applicant.
Recipient	The agency or organization designated on the Grant Award Face Sheet which receives the grant funds and who will be responsible for accomplishing the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Recipient Handbook (RH)	This handbook outlines the administrative and fiscal terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these conditions. The <i>Recipient Handbook</i> is accessible on the OES website at www.oes.ca.gov by selecting "Recipient Handbook, Appendices, and Forms."
Request for Application (RFA)	The RFA is a packet of instructions and forms issued by OES to obtain applications from applicants through a noncompetitive process.
Request for Proposal (RFP)	The RFP is a packet of instructions and forms issued by OES to solicit competitive proposals in order to select projects for funding.
Supplanting	Supplanting is the deliberate reduction of federal, state, or local funds due to the existence of OES funds thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, OES policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.

**DISBURSEMENT OF CONFIDENTIAL FUNDS
CERTIFICATION**

This is to certify that I have read, understand, and agree to abide by all of the conditions for confidential expenditures as set forth in the OES guidelines.

Date

Project Director