Kentucky Justice & Public Safety Cabinet

Grants Management Branch

125 Holmes Street
Frankfort, KY 40601

Catalog of Federal Domestic Assistance Number: 16.575

Victims of Crime Act (VOCA)

VICTIM ASSISTANCE FORMULA GRANT

PROGRAM & FINANCIAL GUIDELINES AND INSTRUCTIONS

TABLE OF CONTENTS

INTRODUCTION 4
KEY IMPLEMENTATION ELEMENTS 4
PURPOSE 4
ALLOWABLE ACTIVITIES/COSTS INCLUDE: 5
UNALLOWABLE COSTS AND ACTIVITIES INCLUDE: 6
ADMINISTRATIVE REQUIREMENTS 8
APPLICANT ELIGIBILITY 8
FUNDING CATEGORIES AND PRIORITY PROGRAMS 11
DISTRIBUTION OF FUNDS 11
AWARD PERIOD 11
APPLICATION PROCESS 11
APPLICATION INSTRUCTIONS 13
APPLICATION REVIEW AND APPROVAL PROCESS 15
POST-AWARD REQUIREMENTS 17
GENERAL FINANCIAL REQUIREMENTS AND INSTRUCTIONS 18
BUDGETARY REQUIREMENTS 20
BUDGET PREPARATION 21
BUDGET CHECKLIST 30

Victims of Crime Act Victim Assistance Formula Grant

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INTRODUCTION

This document is prepared by the Kentucky Justice & Public Safety Cabinet, Grants Management Branch, (and is consistent with that developed by the USDOJ, Office for Victims of Crime) to establish program and financial policy and administrative guidance for the management of the Victims of Crime Act (VOCA) Victim Assistance Grant and the Victims of Crime Act (VOCA) of 1984. This document also describes the VOCA application and grant management procedures, requirements and instructions.

KEY IMPLEMENTATION ELEMENTS

COORDINATION

Providing assistance to victims of crime requires coordination and cooperation at all levels. The development of the Commonwealth's strategy for assisting victims of crime includes the participation of federal, state, and local criminal justice, prosecutorial, and victim service agencies. The Justice and Public Safety Cabinet is charged with increasing coordination among these entities to achieve a comprehensive and effective approach to funding victim assistance programs with VOCA awards. Multi-jurisdictional programs, interagency projects, and collaborative efforts that result in increased coordination and cooperation among criminal justice agencies, prosecutor based programs, and victim service agencies are a priority of this program.

PURPOSE

The VOCA Victim Assistance Formula Grant Program has as a **primary objective to provide hands-on assistance directly to victims of crime**, by assisting local units of government and private nonprofit organizations in enhancing or expanding direct services to victims of crime, in encouraging the states to improve their assistance to crime victims, and in promoting the development of comprehensive services to all victims of crime.

The Congressional intent is to assist states in providing high quality services that directly improve the health and well-being of victims of crime.

Assistance provided should focus upon addressing the devastating psychological and emotional consequences experienced by victims of crime and their families; and on establishing a safe, welcoming environment for victims within the criminal justice system, thereby increasing the public’s willingness to participate in the criminal justice process.

ALLOWABLE ACTIVITIES/COSTS INCLUDE:

A. **CRISIS INTERVENTION SERVICES:** Services that meet the urgent short-term emotional or physical needs of crime victims. Crisis intervention services are encouraged to coordinate the provision of a 24 hour service which may include the operation of a crisis hotline that provides emergency counseling or referral for crime victims.

B. **EMERGENCY SERVICES:** Services that provide temporary shelter for crime victims who cannot safely remain in their current lodgings, or services that provide measures to restore security such as repair of locks or boarding up of windows to prevent the immediate re-burglarizing of a home.

C. **SUPPORT SERVICES:** Including follow-up counseling following the initial traumatic event; reassurance, empathetic listening, and guidance for resolving practical problems created by the victimization experience; acting on the victim's behalf vis-à-vis other social and criminal justice agencies; assistance in obtaining the swift return of property being kept by police as evidence; intervention, as appropriate, with landlords, creditors, or employers; and referral to other sources of assistance, as needed.

D. **COURT RELATED SERVICES:** Services that assist crime victims in participating in criminal justice proceedings, including transportation to court, child care, escort services and the filing of elder abuse and child abuse petitions and temporary restraining orders.

E. **PUBLIC PRESENTATIONS:** VOCA funds may be used to support presentations that are made in schools, community centers or other public forums, and <u>that are designed to identify crime victims and provide or refer them to needed services</u>. Specifically, activities and costs related to such programs, including presentation materials, brochures, and newspaper notices, can be supported by VOCA funds. <u>Community education cannot be the primary focus of staff positions supported by VOCA funds.</u>

F. **NECESSARY AND ESSENTIAL COSTS:** This includes prorated costs of rent, telephone services, transportation costs for victims to receive services, emergency transportation costs for victims to receive services, emergency transportation costs that enable a victim to participate in the criminal justice system, and local travel expenses for service providers.

G. **PERSONNEL COSTS:** Costs specifically related to providing direct services, such as staff salaries and fringe benefits, including malpractice insurance; the cost of advertising to recruit VOCA-funded personnel; and the cost of training paid and volunteer staff.

H. **TRAINING MATERIALS:** VOCA funds can be used to purchase materials such as books, training manuals and videos for direct services providers within the VOCA funded organization.

I. **OPERATING COSTS:** Examples of allowable operating costs include supplies; equipment use fees, when supported by usage logs; printing, photocopying and postage; brochures which describe available services and books; and other victim related materials. VOCA funds may support administrative time to complete VOCA required time and attendance sheets, programmatic documentation, reports and statistics; and administrative time to maintain crime victims' records.

UNALLOWABLE COSTS AND ACTIVITIES INCLUDE:

A. **CRIME PREVENTION: VOCA funds may not be used for crime prevention activities.** One exception to this exclusion is crime prevention activities related to efforts specifically included in providing emergency assistance after victimization, such as services to prevent the immediate re-burglarizing of a home. Programs in which crime victims are not the sole or primary beneficiaries of funded activities are ineligible.

B. **LOBBYING, LEGISLATIVE, AND ADMINISTRATIVE ADVOCACY:** Lobbying for particular victim legislation or administrative reform, whether conducted directly or indirectly, is an activity ineligible for VOCA funding. Staff time funded by VOCA (or used as match for a VOCA-funded project) may not be spent lobbying or legislative and administrative advocacy.

C. **PERPETRATOR REHABILITATION AND COUNSELING, AND PROVISION OF SERVICES TO INCARCERATED INDIVIDUALS:** Subrecipients cannot knowingly use VOCA funds to offer rehabilitative services to offenders.

Likewise, VOCA funds cannot support services to incarcerated individuals, even when the service pertains to the victimization of that individual.

D. **NEEDS ASSESSMENT, SURVEYS, MANUALS, AND PROTOCOLS:** The use of VOCA funds to conduct needs assessments, surveys, development of manuals and protocols or to perform general administrative tasks does not fall within the intent of the Act and is outside the scope of the Program Guidelines.

E. **FUNDRAISING:** Fundraising activities are not an allowable part of a VOCA-funded project.

F. **EQUIPMENT PURCHASES/CAPITAL EXPENDITURES:** Only equipment determined to be necessary and essential to the delivery of direct service as deemed by OVC and/or GMB is an allowable cost.

G. **PROFESSIONAL SERVICES OF DOCTORS AND LAWYERS:** The payment of fees for professional services rendered by lawyers and doctors in most instances extend

beyond the intent of the Act, and are, therefore, ineligible for VOCA funding. *According to OVC, victims treated for crime related injuries are encouraged to seek reimbursement for medical services rendered by doctors from their state crime victim compensation program.*

The above does not prohibit direct service programs from hiring as staff salaried medical/mental health professionals to provide services on site to clients. This differs significantly from a case by case fee-for-service arrangement.

Non-emergency legal services are not allowable.

H. **WITNESS MANAGEMENT AND NOTIFICATION PROGRAMS:** Projects whose primary objectives are to improve the prosecutorial efficiency of a prosecutor's office and whose goals are primarily witness management and notification are identified as administrative in nature and are, therefore, ineligible for support.

However, Victim/Witness programs in prosecutor's offices which provide both direct services to victims, such as escort and transportation, and support and advocacy during the criminal justice process, as well as a wide range of other services, are eligible to receive VOCA funding only for the portion of the program that provides direct services to victims.

I. **CRIMINAL JUSTICE IMPROVEMENTS:** General criminal justice agency improvements or programs where crime victims are not the sole or primary beneficiaries are not eligible for VOCA funding.

J. **INSURANCE:** The purchase of liability insurance policies and the repair of buildings and vehicles are incidental expenses, and are not necessary to the provision of direct services to crime victims as intended by the Act. Therefore, VOCA funds may ***not*** be used for these purposes.

However, reasonable professional liability costs for certain VOCA funded personnel are allowable.

K. **MEDICAL COSTS:** Hospital care, nursing home care, long term home health care costs and other in-patient treatment costs are unallowable services. VOCA victim assistance grant funds cannot support medical costs regardless of whether they are a result of victimization or not.

L. **INELIGIBLE RECIPIENTS:**

1. **Federal Agencies.** This includes U. S. Attorneys Offices and FBI Field Offices.

2. **In-Patient Treatment Facilities:** For example, those designed to provide treatment to individuals with drug, alcohol and/or mental health-related conditions.

ADMINISTRATIVE REQUIREMENTS

APPLICANT ELIGIBILITY

VOCA establishes eligibility criteria that must be met by all organizations that receive VOCA funds. These funds are to be awarded to subrecipients only for providing services to victims of crime through their staff. Each subrecipient organization shall meet the following requirements:

1. Public or Nonprofit Organization. To be eligible to receive VOCA funds, programs must be public or nonprofit organizations, or a combination of such organizations, and provide services to crime victims.

2. Record of Effective Services. Applicants must demonstrate a record of providing effective services to crime victims. This includes having the support and approval of its services by the community, a history of providing direct services in a cost-effective manner, and financial support from other sources.

3. Non-VOCA Program Support. Those programs that have not yet demonstrated a record of providing services may be eligible to receive VOCA funding, if they can demonstrate that 50 percent of their financial support comes from non-federal sources. It is important that organizations have a variety of funding sources besides federal funding in order to ensure their financial stability. An existing program shall be considered to have financial support from other sources if at least twenty percent (20%) of its support (including in-kind) is from sources other an the state's crime victim assistance grant.

4. Program Match Requirements. Program Match is required for this grant opportunity (see *General Financial Guidelines*).

5. Volunteers. Subrecipient organizations must use volunteers unless the Grants Management Branch determines there is a compelling reason to waive this requirement. A "compelling reason" may be a statutory or contractual provision concerning liability or confidentiality of counselor/victim information, which bars using volunteers for certain positions, or the inability to recruit and maintain volunteers after a sustained and aggressive effort.

Programs are required to maintain a **minimum of 200 documented volunteer hours**. Volunteer time must include direct services to victims of crime.

6. VOCA-funded Staff Training Requirement. Project staff funded **in whole or part** by the VOCA Victim Assistance Grant must complete 12 hours of victim-assistance related training during the grant award period.

7. Promote Community Efforts to Aid Crime Victims. Subrecipients must promote, within the community, coordinated public and private efforts to aid crime victims. Coordination may include, but is not limited to, serving on state, federal, or local task forces, commissions, working groups, coalitions, and/or multi-disciplinary teams. Coordination efforts also include developing written agreements that contribute to better and more comprehensive services to crime victims.

Coordination efforts qualify an organization to receive VOCA victim assistance funds, but are not activities that can be supported with VOCA funds.

8. Help Victims Apply for Compensation Benefits. Subrecipients are required and encouraged to assist victims in applying for compensation benefits. Such assistance may include identifying and notifying crime victims of the availability of compensation, assisting them with application forms and procedures, obtaining necessary documentation, and/or checking on claim status.

9. Comply with Federal Rules Regulating Grants. Subrecipients must comply with the applicable provisions of VOCA, the VOCA Program Guidelines and the requirements of the USDOJ OJP Financial Guide effective edition, which includes maintaining appropriate programmatic and financial records that fully disclose the amount and disposition of VOCA funds received. This includes: financial documentation for disbursements; daily time and attendance records specifying time devoted to allowable VOCA victim services; client files; the portion of the project supplied by other sources of revenue; job descriptions; contracts for services; and other records which facilitate an effective audit.

10. Maintain Civil Rights Information. Subrecipients must maintain statutorily required civil rights statistics on victims served by race, national origin, sex, age, and disability, within the timetable established by the GMB; and permit reasonable access to its books, documents, papers, and records to determine whether the subrecipient is complying with applicable civil rights laws.

This requirement is waived when providing a service, such as telephone counseling, where soliciting the information may be inappropriate or offensive to the crime victim.

11. Comply with State Criteria. Subrecipients must abide by any additional eligibility or service criteria as established by the Kentucky Justice and Public Safety Cabinet Grants Management Branch including submitting statistical and programmatic information on the use and impact of VOCA funds, as requested by the grantee.

12. Services to Victims of Federal Crimes. Subrecipients must provide services to victims of federal crimes on the same basis as victims of state/local crimes.

13. No Charge to Victims for VOCA-Funded Services. Subrecipients must provide services to crime victims, at no charge, through the VOCA-funded project. Any deviation from this provision requires prior approval by GMB. Prior to authorizing subrecipients to generate income, OVC has strongly encouraged GMB and other state administrators to carefully weigh the following considerations regarding federal funds generating income for subrecipient organizations.

a. The purpose of the VOCA victim assistance grant program is to provide services to all crime victims regardless of their ability to pay for services rendered or availability of insurance or other third-party payment resources. Crime victims suffer tremendous emotional, physical, and financial losses. It was never the intent of VOCA to exacerbate the impact of the crime by asking the victim to pay for services.

b. Program income can be problematic because of the required tracking systems needed to monitor VOCA-funded income and ensure that it is used only to make additional services available to crime victims. For example: VOCA often funds only a portion of a counselor's time. Accounting for VOCA program income generated by this counselor is complicated, involving careful record keeping by the counselor, the subrecipient program, and the state.

14. Client-Counselor Confidentiality. Subrecipients must maintain confidentiality of client-counselor information, as required by state and federal law.

15. Confidentiality of Statistical and Research Information. Except as otherwise provided by federal law, no recipient of funds under VOCA shall use or reveal any statistical information furnished under this program by any person and identifiable to any specific private person for any purpose other than the purpose for which such information was obtained, in accordance with VOCA. Such information, and any copy of such information, shall be immune from legal process and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceeding. See Section 1407(d) of VOCA codified at 42 U.S.C. 10604.

These provisions are intended, among other things, to ensure the confidentiality of information provided by crime victims to counselors working for victim services programs receiving VOCA funds. Whatever the scope of application given this provision, it is clear that there is nothing in VOCA or its legislative history to indicate that Congress intended to override or repeal, in effect, a state's existing law governing the disclosure of information which is supportive of VOCA's fundamental goal of helping crime victims. For example, this provision would not act to override or repeal, in effect, a state's existing law pertaining to the mandatory reporting of suspected child abuse.

FUNDING CATEGORIES AND PRIORITY PROGRAMS

A **Priority Program** has been defined by the Office of Victims of Crime as one whose principal mission is to offer **comprehensive specialized services tailored to the special needs of one or more priority category victims.**

The first three priority categories have been clearly defined by Congress as being **victims of child abuse, victims of domestic violence, and victims of sexual assault.** A fourth category was added in 1988, for **previously underserved victim populations,** to be defined by each state. Subsequent to publishing the initial program guidelines, OVC has determined that victims that fall under the first three priority categories will not be eligible for consideration under the category of "previously underserved."

The Commonwealth of Kentucky defines its previously underserved victim populations as any of the following: **survivors of homicide; elderly victims of abuse; survivors of incest; victims of financial crimes including identity theft; victims of robbery and other forms of violence against persons, including victims of drug and alcohol related crime; victims of ritualistic abuse; and victims of juvenile crime.**

In determining the funding needs of programs serving priority victims, the Commonwealth considers other funding options that may be available or in place for these priority program areas, as well as the needs and availability of services in the state for other categories of crime victims.

DISTRIBUTION OF FUNDS

Funds granted to Kentucky by USDOJ are further subgranted by the Justice and Public Safety Cabinet to state agencies, units of local government, and not-for-profits to carry out programs and projects contained in an approved application that complies with the priorities established by the USDOJ and the Commonwealth.

According to the directive of the Office of Victims of Crime, at least ten percent of the state's total VOCA allocation must be awarded to each of the four Priority Categories. The VOCA Victim Assistance Formula Grant Program is a competitive grants program.

AWARD PERIOD

The standard award period is one year.

APPLICATION PROCESS

All grant activities are managed through the Kentucky Justice & Public Safety's electronic grants management system (eGMS). Applications must be submitted via the

online eGMS by the due date and time referenced in EGMS, this document and related information. Applicants are strongly encouraged to establish a user account at www.kyjusticegms.com and familiarize themselves with the system well in advance of the due date through use of the user training materials. Please note: validation of new user accounts will take 48-72 hours. Applicants who have previously applied for grants on the EGMS do not need to establish an additional account. More information about the application process may be found at http://justice.ky.gov

Applicants should also review the specific EGMS application in advance, as there are numerous required fields and information, character limits, and required supporting attachments.

Upon successful submission of an application, the authorized official will receive a confirmation email; this should be retained for agency records. Applicants may also access the system after application submission to confirm status in the "Information" section or the screen header. If a user is unable to confirm application submission status, believes they have cancelled an application in error, or believes a system error has occurred that prevented successful submission, they should contact GMB staff well in advance of the submission deadline in order to allow confirmation or further inquiry. Contact may be directed to the program staff identified in these Guidelines, or any GMB staff, at 502-564-3251 or askgmb@ky.gov Requests for reconsideration of submission compliance will only be granted to users providing sufficient documentation of a) timely contact with GMB staff and b) identification of specific, verifiable system errors. User error will not be considered sufficient justification for submission deadline reconsideration.

Required Registrations

Proof of DUNS Number is requested at time of application. Awards will not be issued without these. See http://fedgov.dnb.com/webform/displayHomePage.do and www.ccr.gov for further information on obtaining a DUNS Number and/or CCR registration.

Designated Grant Officials

The following persons are eligible to serve as the designated grant officials:

Authorized Official/Agency Representative/CEO - The person authorized to apply for, accept, decline, or cancel the grant for the applicant agency (e.g., state agency head, county judge executive, city mayor).

Project Director/Agency Administrator - The employee of the applicant agency who will be responsible for operation of the project and program activity reporting.

Financial Officer - The chief financial officer of the applicant agency (e.g., county auditor, city treasurer, comptroller, etc.) who will be responsible for all financial aspects of the grant's management, including financial report submission.

Designated Grant Officials

Segregation of duties should be maintained among designated grant officials to ensure no individual has the ability to conceal or misdirect agency funds**. The Financial Officer should not be assigned dual roles.**

APPLICATION INSTRUCTIONS

1. Information and Application Review: Prior to completing the VOCA grant application, please review very carefully the VOCA Guidelines to become familiar with the requirements and restrictions regarding the use of funds. Use this information in the development of your project proposal.

2. Grant Proposal Development: All proposals should be concise, clearly written and submitted through the Kentucky Justice and Public Safety Cabinet's Electronic Grants Management System. All major points must be supported by local facts and data, with appropriate citations. While detailed project descriptions are necessary, please avoid voluminous and unneeded information. Likewise, what may be common knowledge to your staff or community may not be known by the Review Committee. In your proposal include the following:

- A well thought out, planned program, which is quickly and easily understood;

- A program that has direction, broad based support and is a high priority need of the community;

- Most importantly, a program that can be supported with data and where the probability of success is high.

To be eligible for consideration, each proposal must address the following points. This will also assist the review committee in making decisions to recommend new and continued funding.

- What is the problem? Identify the problem(s) of crime victims in your community and include data that shows size and scope. Explain the impact of the problem within your community. Provide justification for funding this project. If the project includes expansion, be sure to include evidence indicating the need for such growth.

• What are you trying to accomplish and the steps of getting it completed? In presenting the goal, make sure it is concise and to the point. The goal should be the final result of your program. Each objective should begin with the word “to” and be stated in realistic and measurable terms. By using words like “to increase,” “to decrease,” and “to reduce,” objectives may be kept on target.

State your objectives in measurable terms. For example: if the objective of your project is to provide crisis intervention and long-term therapy, you might state the objectives as follows: 1) The project will provide crisis intervention to sixteen domestic violence victims within the project period; and 2) The VOCA funded therapist will provide individual counseling for thirty victims of sexual assault during the twelve month project period.

• How will this strategy work? Describe the strategy so that what you propose to do and how you will do it is clear. Once the strategy is fully developed, what tasks will occur and when? Also, include your involvement with victim compensation and how volunteers are used in your program. Provide information that reflects a coordination of services within your community and list those agencies.

• How will you know if the concept works? This should address the measurements you will put in place to determine the effectiveness of your proposal. Explain what will be measured or collected (e.g., victim survey) and who will do it. How will this information be used? The Past Progress Report should also reflect how the objectives were accomplished during the previous year as well as include results from any victims’ surveys.

• What are the costs of the proposal? Cost effectiveness is looked at very strongly. Include a detailed budget narrative to explain the costs. The allowability, necessity, and reasonableness of each item should be addressed.

• Include a program overview that provides a brief background statement about the agency implementing this project, the mission statement and a list of staff (VOCA program positions only). This should also include a description of the grant project and indicate which pieces are continuation and which are expansion.

• In reference to the coordination statement, explain specifically how you work with other agencies or individuals in your community. Address how your service fits into the overall picture of victim services provided by your community.

3. Application Submission:

Applications must be submitted no later than 4:30 pm (EST), June 15, 2013.
IF THERE ARE ANY CHANGES IN THE GRANT OPERATION, STAFFING, OR BUDGET AFTER SUBMISSION OF YOUR APPLICATION, **NOTIFY GMB IN WRITING immediately.**

Please note the following:

1. Delinquent monthly/quarterly reports, either programmatic or financial, could affect reimbursement and/or future funding of existing programs.

2. GMB will not grant extensions of the application due date.

APPLICATION REVIEW AND APPROVAL PROCESS

When a completed application has been submitted, it shall be subject to programmatic and financial review. Applications are reviewed by appropriate GMB staff and also by an independent review committee of subject matter experts using set review criteria and assigned point values specific to the program.

1. A review committee of subject matter experts will review all completed applications for VOCA Victim Assistance Formula Grant funding. An average score is determined from each reviewer's results, based on the criteria set forth here. Applications receiving an initial score of less than 65% will not be contacted for follow-up information; applications receiving a final score of less than 70% will not be funded.

2. Following the initial review and scoring of the application by the independent review committee, GMB Program, Financial, and Administrative staff will perform administrative review of the application.

   GMB staff retains discretion to request additional information or explanation from the applicant in order to complete the review of the application, OR to submit recommendations to the Secretary of the Justice and Public Safety Cabinet to approve awards with special conditions, to choose not to fund a program or some percentage thereof, or some other action deemed appropriate by GMB staff based on evaluation of historical performance and management of grants.

   Notification of further action needed by an applicant may be in the form of a system-generated message, written letter, email, or telephone call. Failure to respond in the time frame specified may result in the application not being further considered for funding during that application period. Responses to requests for follow-up information will be used to further consider the request for funding.

3. Award recommendations are made by GMB to the Secretary of the Kentucky Justice and Public Safety Cabinet. Final approval of all grant applications rests with the Secretary and/or the Governor of the Commonwealth, who will provide GMB with approval to proceed with final funding decisions.

For additional information on the application review process, please access the Kentucky Justice and Public Safety Cabinet, Grants Management Branch, Policy and Procedure Manual at www.justice.ky.gov/departments/gmb .

Review Criteria

1. Project Overview

Provides a brief overview of the agency implementing the grant-funded project, the grant funded project, and staff employed through the grant-funded project.

2. Statement of the Problem

Provides a detailed description of the problem to be addressed by the grant-funded project, including supporting local and state data that describes the problem.

3. Goals, Objectives and Performance Measures

Goals
Discusses the significance of the project and describes how it assists victims of crime. Clearly provides description of long-term effect(s) the proposed project should achieve. Where applicable, describes how project design employs evidence based practices or is based upon research knowledge and/or data.

Objectives
Describes project objectives that are linked to meaningful and measurable outcomes.

Performance Measures
Explains how the program's effectiveness will be demonstrated. Discusses the significance of the program's impact in assisting victims of crime. For each performance measure selected, describe: 1) what data will be collected; 2) how it will be collected; 3) how it will be assessed/analyzed; and 4) the process for reporting the findings and outcomes which will measure the impact of the proposed efforts. Includes innovative approaches which will be used to maximize the programs' impact and cost-effectiveness and how this will help sustain the program when grant funding ends.

4. Project Activities and Operation

Project activities contain a concise summary of the proposed project, including a description of major tasks necessary to fully implement. Provides the who, what, where,

when and how of the proposed project. Includes a comprehensive performance timetable identifying milestones to be achieved in this project. Ties activities to goals, objectives and the performance measures applicable to the proposed project.

5. Coordination Narrative

Provides a description of how project staff will coordinate services with other agencies and organizations in delivery of services to victims of crime.

6. Budget Narrative and Budget

Provides a comprehensive budget and budget narrative that are complete, allowable, justified, and clearly related to project goals, objectives and operations. Applicants are strongly encouraged to avoid unsubstantiated equipment purchases.

Victims of Crime Act (VOCA) Victim Assistance Formula Grant Scoring Matrix	
Problem Statement	20
Project Overview	10
Goals, Objectives and Performance Measures	20
Project Operation	20
Coordination Narrative	10
Budget	20
Total Points	**100**

POST-AWARD REQUIREMENTS

Evaluation and Monitoring

Each program funded by the Kentucky Justice & Public Safety Cabinet under the VOCA Victim Assistance Formula Grant Program shall contain an evaluation component. Project Reports (required reporting of a subgrantee) will be analyzed for evaluation purposes. Some projects may receive intensive evaluations.

Grants Management Branch monitoring includes desk audits, a review of financial and program reports submitted by the subgrantee on a quarterly basis and periodic on-site monitoring to review grant compliance, assess management controls, evaluate the applicable activities and provide technical assistance. In addition, the subgrantee agrees to maintain and provide any data or information requested for the purposes of monitoring and program evaluation. For additional information, see GMB Management Policies and Procedures Manual, www.justice.ky.gov/departments/gmb/.

Waste, Fraud, Error and Abuse

If awarded VOCA Victim Assistance funds, applicant agrees to promptly refer to an appropriate inspector general any credible evidence that a principal, employee, agent, contractor, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving grant funds. Such reports may be forwarded to:

Office of the Inspector General
US Department of Justice
Investigations Division
950 Pennsylvania Avenue, NW
Room 4706
Washington, DC 25030

GENERAL FINANCIAL REQUIREMENTS AND INSTRUCTIONS

Grants funded under the VOCA Victim Assistance Formula Grant Program are governed by the financial management requirements of the Financial Guide, published by the U.S. Department of Justice, Office of Justice Programs, Office of the Comptroller, http://www.ojp.usdoj.gov/financialguide/index.htm, as well as, the Kentucky Justice and Public Safety Cabinet, Grants Management Branch, Policies and Procedures Manual, www.justic.ky.gov/departments/gmb.

All VOCA Victim Assistance awards funded through the Grants Management Branch will be made on a reimbursable basis. Requests for reimbursement may be submitted on a quarterly or monthly basis. Reimbursement payments may be delayed if awardees do not adhere to program and financial reporting requirements.

SOUND FINANCIAL MANAGEMENT

Each applicant will be required to describe the procedures utilized to insure sound financial management of the agency.

• All recipients are required to establish and maintain accounting systems and financial records to accurately account for funds awarded to them. These records shall include both federal funds and all matching funds of state, local, and private organizations, when applicable. State recipients shall expend and account for grant funds in accordance with state laws and procedures for expending and accounting for their own

funds. Subgrantees of states shall follow the financial management requirements imposed on them by states. (State and local procedures must ensure that subrecipients comply with the financial management standards found at 28 CFR Parts 66 and 70.)

ACCOUNTING SYSTEM

The recipient is responsible for establishing and maintaining an adequate system of accounting and internal controls for itself, and for ensuring that an adequate system exists for each of its subrecipients. An acceptable and adequate accounting system:

A. Presents and classifies projected historical cost of the grant as required for budgetary and evaluation purposes;

B. Provides cost and property control to ensure optimal use of funds;

C. Controls funds and other resources to assure that the expenditure of funds and use of property conform to any general or special conditions that apply to the recipient;

D. Meets the prescribed requirements for periodic financial reporting of operations; and

E. Provides financial data for planning, control, measurement, and evaluation of direct and indirect cost.

TOTAL COST BUDGETING AND ACCOUNTING

Accounting for all funds awarded by the federal agency shall be structured and executed on a “total program cost” basis. That is, total program costs, including federal funds, state and local matching shares, and any other fund sources included in the approved project budget or received as program income shall be the foundation for fiscal administration and accounting. Unless otherwise prohibited by statute, applications for funding and financial reports require budget and cost estimates on the basis of total costs.

COMMINGLING OF FUNDS

Federal agencies shall not require physical segregation of cash deposits or the establishment of any eligibility requirements for funds which are provided to a recipient. However, the accounting systems of all recipients and subrecipients must ensure that agency funds are not commingled with funds from other federal agencies. Each award must be accounted for separately.

Recipients and subrecipients are prohibited from commingling funds on either a program-by-program or project-by-project basis.

SUPPLANTING

A written certification must be provided to the awarding agency or recipient agency that federal funds will not be used to supplant state or local funds. Federal funds must be used to supplement existing funds for program activities and not replace those funds which have been appropriated for the same purpose. Potential supplanting will be the

subject of application review, as well as pre-award review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Funds specifically budgeted and/or received for one project may not be used to support another. Where a recipient's or subrecipient's accounting system cannot comply with this requirement, the recipient or subrecipient shall establish a system to provide adequate fund accountability for each project it has been awarded.

Segregation of duties should be maintained among designated grant officials to ensure no individual has the ability to conceal or misdirect agency funds. **The Financial Officer should not be assigned dual roles.**

BUDGETARY REQUIREMENTS

USE OF FUNDS WITHIN INTENDED PURPOSE AREAS

Funds subgranted to an eligible crime victim assistance program must provide services to victims of crime. Subgrantees must demonstrate to the state the assistance funds are directly related to the delivery of services to crime victims. Any costs not directly related to service delivery for crime victims may not be charged by a subgrantee or used as match.

PRORATION OF COSTS

Programs that serve both victims and non-victims must reasonably prorate their costs to assure that crime victim assistance funds are used only for victim services. This proration must be explained within the budget narrative.

Direct services to victims of crime mean those activities that directly benefit individual crime victims, including the required and necessary coordination of such activities (e.g., the coordination of volunteers and/or the coordination of services to the victim which must partially be provided by other community agencies).

NON-SUPPLANTING

Programs cannot use VOCA funds to supplant state and local funds that would otherwise be available for crime victim assistance services. These funds are intended to enhance or expand services, and are not intended to substitute for other sources of support. Please note the following:

- If a new person is going to be hired to conduct project activities (i.e., the department's personnel strength is increased), his/her salary may be charged to the project.

- The salaries of existing personnel transferred to grant activities may be charged to the project as federal expenditures only if the original positions are filled with new personnel.

ADMINISTRATIVE AND INDIRECT COSTS

These funds ***may not*** be used to pay for administrative costs. Any costs not directly related to service delivery for victims must not be included in either federal share or match.

Indirect costs are not permissible under VOCA funding guidelines, including depreciation.

LIABILITY INSURANCE

Agency liability insurance is considered to be an incidental expense, and may not be charged to the VOCA grant.

BUDGET PREPARATION

GENERAL INSTRUCTIONS

- The budget forms must be completed in detail, with amounts rounded to the nearest whole dollar.
- The cost of each item listed under the various budget categories should be shown under the Subtotal column.
- The cost of all items listed in each major category should be inserted in the Category Total space.
- When preparing a proposed budget for VOCA funds, please keep in mind all five budget categories: *Personnel, Contractual Services, Travel/Training, Operating Expenses and Equipment*.
- Consider your program goals and objectives and design the budget so that it may best suit the overall effectiveness of the program. It should also be noted that certain budget revisions may be allowed based on the availability of funds.
- Under Travel/Training, attach a description according to instructions.
- Under Operating Expenses, provide a method of computation for each request (e.g., rent, total square feet, space requirements per VOCA staff person, total agency costs, allocation percentage, etc.).
- At the end of the budget section you must provide information concerning the source of your agency's matching contribution. It is important for Grants Management Branch to know the actual funding sources that are being identified with the VOCA funded project. Volunteer service is a requirement of all Kentucky VOCA subgrantees. It is the most preferred, but not required, source of match.
- Applicants for grants must submit a budget narrative. The budget narrative should detail by budget category, federal and non-federal (in-kind and cash) shares. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including

criteria and data used to arrive at the estimates for each budget category. DO NOT RESTATE THE BUDGET.

NOTE: A budget checklist is provided at the end of these guidelines to assist in completing the VOCA Victim Assistance application.

The following is an overall view of all costs associated with VOCA Victim Assistance Formula Grant Program funds:

PERSONNEL

Guidelines

- No grants will be made to supplement salaries for existing positions. Salaries for federal funded and match positions shall comply with state, city, county, or other relevant classification systems and shall be documented by appropriate time and attendance records. Charges of the employees' time assigned to grant projects may be reimbursed or recognized only to the extent they are directly and exclusively related to grant purposes. In no case is dual compensation allowable.

- Where salaries apply to both project operation and non-project activity, or apply to two or more separate projects, pro-ration of costs to each activity must be made based on time and attendance reports.

- Positions that existed prior to the grant and were funded from any source other than Grants Management Branch grant funds are not eligible for VOCA Victim Assistance grant funds. Existing employees of the applicant may be transferred from other positions to fill the positions in the grant project; however, the new positions vacated must be filled by new hires so that the applicant's full staff of non-grant employees is not reduced in number by the award of the grant.

- Payments for fringe benefits are allowable personnel costs and cannot exceed the amount paid by the employer. The fringe benefits must be reasonable and in line with state, city or county rates.

- Faith-based organizations asserting hiring practices on the basis of religion must download, complete, and sign a Certificate of Exemption form located on the Kentucky Justice and Public Safety Cabinet's website, http://www.justice.ky.gov/NR/rdonlyres/2BD154DF-065F-48E0-B3B5-23D2B9DFC7A5/0/fbo_sample.pdf, and upload it into the application.

- No grants will be made to supplement salaries for existing positions. Salaries for federal funded.

Application Instructions

- Each position must be listed by title (and name of employee, if available), monthly salary rate for the employee, the percentage of the employee's time to be devoted to the project and total employee cost for the project.

- Funded part-time positions (positions devoting less than 100% of a standard work shift to the grant project) should be supported by a brief explanation of the incumbent employee's duties outside the grant project or by a statement that the employee is not employed elsewhere by the grantee.

- Documentation of fringe benefits must be submitted with the budget to reflect the actual rates being paid by the employer. The following are considered allowable benefits:

  A. Health, Dental and Life Insurance
  B. FICA
  C. Retirement
  D. Worker's Compensation
  E. Unemployment Insurance

Volunteers

- Volunteer hours must be supported by timesheets indicating activity and hours worked, with original signatures of both the volunteer and one agency staff member.

- Please do not use the volunteer rate from an internet site or one rate for all types of volunteer activities. The assigned rate should be based on what the agency would pay were the individual employed full time. An hourly rate is determined by the salary plus any applicable fringe benefits.

- All volunteer time utilized for the grant must be related to direct service. The following items cannot be funded or used as match:

  - Clerical volunteer hours, except those involving client files.
  - Salary and/or benefits that are greater than documented percentage of time spent on VOCA allowable direct services. If employee works on multiple projects, they must keep allocated timesheets.
  - Any health insurance rate not based on a single plan or only offered to a VOCA funded employee due to the availability of grant funds.
  - On-call time.
  - Crisis line time if not supported by a time log, including the initials of the individual who took the call.
  - Criminal record background checks.
  - Any legal advocacy relating to divorce and/or custody proceedings.
  - Transitional housing items.
  - Job placement/counseling services.

- Stuffed animals if therapeutic purpose is not formally and adequately described within the budget narrative and supported by documentation on-site.
- Any activities that have a primary recreational purpose.
- Fundraising activities.
- Lobbying activities.
- General informational presentations to the public with a primary purpose of prevention.
- Prosecutorial activities, including forensic interviewing.

Fringe benefits

Please provide each type of employee benefit included and the total cost allowable to employees assigned to the project. Documentation must be submitted to the Kentucky Justice and Public Safety Cabinet to reflect the actual rates being paid by the employer.

Overtime

Overtime pay can be funded for personnel funded by the grant on a full-time basis, whose duties are consistent with the VOCA-funded project. Overtime pay may be approved through the original grant application. GMB approval must be obtained before overtime pay can be reimbursed

CONTRACTUAL SERVICES

Compensation for individual consultant services is to be reasonable and consistent with that paid for similar services in the market place. The maximum rate for consultants is $450 (excluding travel and subsistence costs) for an 8-hour day or $56.25 per hour. An 8-hour day may include preparation, evaluation and travel time in addition to the time required for the actual performance. Additionally, travel and subsistence costs may be paid. A request for compensation for over $450 per day requires prior approval and additional justification.

Contractual Arrangements with individuals must ensure that:

A. Dual compensation is not involved (i.e., the individual may not receive compensation from his regular employer and the applicant for work performed during a single period of time even though the services performed benefit both).

B. The contractual agreement is written, formal, proper and otherwise consistent with the applicant's usual practices.

C. Time and/or services for which payment will be made and rates of compensation must be supported by adequate documentation.

D. Travel and subsistence costs are at an identified rate consistent with the cost allowed in Section III, Travel.

TRAVEL/TRAINING

Training for persons (salaried or volunteer staff) who are identified as part of the VOCA project staff, and who provide direct services to crime victims is allowable. The intended use of the VOCA funds is limited to staff development of direct service providers in individual projects and to enhance their skills directly relating to the services they provide to crime victims. Additionally, training related to prosecutorial activities is ineligible. Management training and training aimed at persons who do not provide direct services is not eligible. The awarding of a grant solely for the purpose of supporting a training activity is not consistent with the intent of the Act.

Post-award use of Travel/training funds

Funds may be used for transportation, subsistence and registration fees for applicants to attend conferences and training seminars. Travel must be approved through the original grant application or a subsequent grant adjustment notice. Requested travel expenses shall not exceed the established mileage and subsistence policy as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet. Please see 200 KAR 2:006 and http://finance.ky.gov/internal/travel for current rates and regulations.

Transportation must be the most economical. Bus, subway and taxi fares are allowed for city travel. Commercial airline travel shall be coach/tourist class. Additional expense for first class travel will not be allowed. The cost of rental cars in lieu of ordinary transportation will be allowed only with acceptable justification. Actual parking, bridge and toll charges are reimbursable. Reasonable expenses for baggage handling, for delivery to or from a common carrier or lodging and for storage are reimbursable. Registration fees required for admittance to official travel meetings are reimbursable. If the fee entitles registrants to meals, claims for subsistence must be reduced accordingly. Telephone, tip charges, and laundry charges are not reimbursable with grant funds.

All expenses shall be supported by documentation that indicates destination, time and purpose of travel.

NOTE: If the travel and reimbursement requirements of the applicant agency are more stringent than that of the Commonwealth, the more stringent of the two must be followed.

OPERATING EXPENSES

Operating expenses include items necessary and essential for the ongoing operation of the project. Items must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the actual expense.

List items within this category by major type (e.g., office supplies, training materials, research forms, telephone and postage). Show basis for computation ("X" dollars per month for office supplies, "Y" dollars per person for training materials, "Z" dollars per month for telephone-long distance) on the budget narrative page. Large items should be

separately listed and identified (e.g., unusual supply items, special printing or mailings required for project). On miscellaneous expenses, a specific itemization of each type of expense with basis of computation should be provided. Please show the allocation if only partially funded or used as match.

Please note: If the applicant agency or a related party owns the space used by the program, the fair market rental value of the space cannot be used as match or reimbursed under the federal share.

Whether you own, rent or are donated the space used by the program, cost of ownership items such as utilities and security for a shelter are allowable. However, other costs such as: liability insurance on buildings; capital improvements; property losses and expenses; mortgage payments; real estate purchases; construction; and other indirect organizational costs such as depreciation, property taxes, maintenance, and janitorial will not be allowed.

Printing and distribution of brochures and similar announcements describing the direct services available and how they may be obtained is allowable.

The following items **cannot** be funded or used as match:

- In-kind rent when not supported by a recent, written fair market rental value estimate from a real estate professional or landlord.
- Janitorial, cleaning, and/or lawn care supplies.
- Parking costs.
- Household items not specifically identifiable to the immediate crisis period.
- Audit costs, even if required under OMB Circular A-133, and tax return fees.
- Equipment repair and maintenance for any item not purchased with VOCA funds excluding allocated copy contracts that include toner, supplies, etc.
- Accounting services.

CAPITAL EQUIPMENT

Authorization for equipment will be based on the applicant's demonstration the requested equipment is necessary and essential to the successful operation of the grant project. The applicant must adhere to the following principles:

- Items of equipment must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the purchase of the equipment.
- No other equipment owned by the applicant is suitable for the effort.
- Grant funds are not used to provide reimbursement for the equipment already owned by the applicant. Equipment that has already been purchased and charged to other activities of the applicant will not be an allowable expense to the grant.
- Equipment purchased and used commonly for two or more programs has been appropriately prorated to each activity.

Capital equipment is defined as items with a unit price of $5,000 and over and usefulness greater than one year. Items with a unit price under $5,000 should be included under operating expenses. Authorization for equipment will be based on the applicant's demonstration that the requested equipment is necessary and essential to the successful operation of the grant project. The applicant must adhere to the following principles:

Title to all expendable and nonexpendable personal property purchased with funds made available under this program shall vest in the organization or agency that purchased the property if it certifies to the Grants Management Branch that it will use the property for allowable purposes. If such certification is not made, title to the property shall vest in the Justice and Public Safety Cabinet which shall seek to have the property used for victim assistance purposes elsewhere in the state prior to using it or disposing of it in any other manner.

PROCUREMENT PROCEDURES

Applicants shall use procurement procedures and regulations as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet. Please see http://finance.ky.gov/business/eprocurement/state-laws for more information.

NOTE: If the procurement policy of an agency is more restrictive than the Commonwealth's, the more restrictive of the two must be followed.

TOTAL PROJECT COSTS

The "Total Project Cost" should be the sum of the "Category Totals" and of all individually listed budget items.

MATCHING REQUIREMENT

The purpose of matching contributions is to increase the amount of resources available to the projects supported by grant funds. Matching contributions of 20% (50% for new applicants), cash or in-kind, of the total cost of each VOCA project (VOCA grant plus match) are required for each VOCA-funded project and must be derived from nonfederal sources, except as provided in the USDOJ OJP Financial Guide, effective edition (Part III. Post Award Requirements, Chapter 3. Matching or Cost Sharing). All funds designated as match are restricted to the same uses as the VOCA victim assistance funds and must be expended within the grant period. Match must be provided on a project-by-project basis.

For the purposes of this program, in-kind match may include donations of expendable equipment, office supplies, workshop or classroom materials, work space, or the monetary value of time contributed by professionals and technical personnel and other skilled and unskilled labor, if the services they provide are an integral and necessary part of a funded project. The value placed on donated services must be consistent with the rate of compensation paid for similar work in the subrecipient's organization. If the

required skills are not found in the subrecipient's organization, the rate of compensation must be consistent with the labor market. In either case, fringe benefits may be included in the valuation. The value placed on loaned or donated equipment may not exceed its fair market value. The value of donated space may not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in privately-owned buildings in the same locality.

a. Record Keeping. VOCA recipients and their subrecipients must maintain records that clearly show the source, the amount, and the period during which the match was allocated. The basis for determining the value of personal services, materials, equipment, and space must be documented. Volunteer services must be documented, and to the extent feasible, supported by the same methods used by the subrecipient for its own paid employees.

b. Exceptions to the Match Requirement. GMB may request a waiver of the match requirement from OVC if extraordinary circumstances are documented. Subgrantee match waiver requests may be granted at GMB discretion.

Instructions for Calculating Match

As a condition to receive VOCA funds, programs are required to provide a matching share of the requested project budget. This matching of funds is known as cost sharing and matching, and represents the portion of the proposed total project costs not borne by the federal government.

Match will be required on a project by project basis. New applicants will be required to provide a larger matching share than other applicants. Subgrantees must maintain records which clearly show the source, the amount, and timing of all matching contributions.

Match is the percentage of total cost (not the federal share) an agency is required to contribute to the project. It may be distributed among one or more budget categories so long as the minimum is met.

Additionally, it is not necessary to match each line item of the different budget categories. Example:
Rent and utilities are used to satisfy the total match for the project. It should be included under the operating section of the budget.

Please use the following to determine your match requirement:

- New Applicants = 50% of Total Project Cost
- Continuing Applicants = 20% of Total Project Cost regardless of the number of years having received VOCA funds.
- Match formula:
    - Federal Share Requested/(1-% Match Requirement) = Total Project Cost
        - Total Project Cost – Federal Share = Match Requirement OR

Total Project Cost * Match % = Match Requirement

Example:

- 5 years of VOCA funding and a $30,000 federal share
  - $30,000/(1-.20) or .80 = $37,500 total project cost
  - $37,500-$30,000=$7,500 match OR $37,500*.20=$7,500 matching contributions can be either cash, in-kind, or both.

Cash Contributions represent an applicant's cash outlay, including non-federal money contributed by public agencies and institutions, and private organizations and individuals.

These items must be encumbered within the grant period.

In-Kind Contributions represent the value of non-cash contributions provided by the applicant. In-kind contributions may be in the form of charges for real property and non-expendable personal property and the value of goods and services directly benefiting crime victims and are specifically identifiable to the project.

DO NOT OVERMATCH. In grants awarded in previous years, it has been noted that some subgrantees have designated a substantial portion or all of their agency's non-federal dollars as project match. Applicants should be mindful that any funds designated as matching funds for VOCA dollars are restricted to the uses outlined in the application. Therefore, subgrantees should only provide match at the required levels.

Any additional match will become a required element of the project and may affect the award if it is not met.

• The matching contribution must be from non-federal sources.

FUND RAISING

Costs of organized fund raising, including financial campaigns, solicitation of gifts and similar expenses solely to raise capital or obtain contributions, may not be charged as costs against the grant. Neither the salary of persons engaged in such activities nor indirect costs associated with those salaries may be charged to the grant. Nothing in this section should be read to prohibit a subgrantee from engaging in fund raising activities, as long as such activities are not financed by federal grant funds.

BUDGET CHECKLIST

This checklist is for your convenience in preparing your budget, along with a budget narrative, as part of your grant application. ***It is for your use only and does not need to be submitted.***

	Yes	No	N/a
Section I. PERSONNEL			
SALARIES			
1. Is the basis for determining each employee's compensation described?			
2. Is each position identified by title?			
3. Will vacant positions be filled by new hires or transfers from within?			
If transfers, will replacements be hired?			
4. Are time commitments stated?			
5. Is the amount of each employee's annual compensation stated?			
6. Are salary increases anticipated during the grant period?			
7. Are the increases justified?			
8. Are any personnel costs dual compensation?			
FRINGE BENEFITS			
1. Is each type of benefit indicated separately?			
2. Has the appropriate percentage and calculation been provided?			
3. Is the authority for the percentage provided?			
4. Are the listed benefits provided for all employees of the agency?			
5. Are fringe benefit increases anticipated during the grant period?			
6. Are the increases justified?			
Section II. CONTRACTUAL SERVICES			
1. Is the type of each service to be rendered described?			
2. For individuals:			
a. Is an hourly or daily rate given?			
b. Are base rates justified and reasonable?			
c. Is the total amount for any contract in excess of $10,000?			
If so, has the applicant indicated that services have been or will be obtained by acceptable procurement procedures?			
d. Is "sole source" an issue?			
If so, is justification included?			
Section III. TRAVEL			
1. Is a basis for computation provided?			
2. Is the purpose of requested travel project-related?			

3. Are per diem, lodging and transportation costs listed separately?			
4. Have the most economical costs been provided?			
5. Have the appropriate project personnel been identified for the travel?			
Section IV. OPERATING EXPENSES			
1. Are operating expenses listed by major types (e.g., Supplies, Rent, Postage, Confidential Fund)?			
2. Are unit costs or monthly estimates provided?			
3. Will proper procurement procedures be followed?			
Section V. EQUIPMENT			
1. Are equipment items specified by units and cost?			
2. Is the requested equipment project-related?			
3. Will the purchased equipment be used 100% in the project?			
If not, has the cost been prorated and the computation provided?			
4. Is no other equipment owned by the agency suitable for the project?			
5. Will the appropriate procurement procedures be followed?			
Section VI. SOURCE OF MATCH			
1. Is the source of match identified?			
2. Is the minimum cash match requirement met?			
Section VII. BUDGET SUMMARY			
1. Are all line item computations correct and do they equal the category totals?			
2. Have the appropriate costs/percentages been identified as federal and match?			
3. Are all requested costs in line with actual costs in previous grants?			
4. Are all requested costs:			
a. Justified?			
b. Reasonable?			
c. Allowable?			